

PART V.

~~HOME AND COMMUNITY-BASED CARE SERVICES FOR INDIVIDUALS WITH  
MENTAL RETARDATION WAIVER.~~

*Article 1.*

*Definitions and General Requirements.*

**12 VAC 30-120-210. Definitions. (Repealed.)**

The following words and terms as used in this part shall have the following meanings unless the context indicates otherwise:

~~"Assistive technology" means specialized medical equipment and supplies including those devices, controls, or appliances specified in the plan of care but not available under the State Plan for Medical Assistance, which enable individuals to increase their abilities to perform activities of daily living, or to perceive, control or communicate with the environment in which they live or which are necessary to the proper functioning of such items.~~

~~"Case management" means the assessment, planning, linking and monitoring for individuals referred for mental retardation community based care waiver services. Case management (i) ensures the development, coordination, implementation, monitoring, and modification of the individual service plan; (ii) links the individual with appropriate community resources and supports; (iii) coordinates service providers; and (iii) monitors quality of care.~~

~~"Case managers" means individuals possessing a combination of mental retardation work experience and relevant education which indicates that the individual possesses the knowledge, skills and abilities, as established by DMHMRSAS, necessary to perform case management services.~~

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~~"Community based care waiver services" or "waiver services" means the range of community support services approved by the Health Care Financing Administration pursuant to § 1915(c) of the Social Security Act to be offered to mentally retarded and developmentally disabled individuals who would otherwise require the level of care provided in an intermediate care facility for the mentally retarded.~~

~~"Community services board" or "CSB" means the public organization authorized by the Code of Virginia to provide services to individuals with mental illness or retardation, operating autonomously but in partnership with the DMHMRSAS.~~

~~"Consumer Service Plan" or "CSP" means that document addressing the needs of the recipient of home and community based care mental retardation services, in all life areas. The Individual Service Plans developed by service providers are to be incorporated in the CSP by the case manager. Factors to be considered when this plan is developed may include, but are not limited to, the recipient's age, primary disability, and level of functioning.~~

~~"Crisis stabilization" means direct intervention to persons with mental retardation who are experiencing serious psychiatric or behavioral problems, or both, which jeopardize their current community living situation by providing temporary intensive services and supports that avert emergency psychiatric hospitalization or institutional admission or prevent other out of home placement. This service shall be designed to stabilize the individual and strengthen the current living situation so that the individual can be maintained in the community during and beyond the crisis period. Services will include, as appropriate, psychiatric, neuropsychiatric, and psychological assessment and other functional assessments and stabilization techniques; medication management and monitoring; behavior assessment and positive behavioral support; intensive care coordination with other agencies and providers to assist planning and delivery of~~

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~~services and supports to maintain community placement of the recipient; training of family members, other care givers, and service providers in positive behavioral supports to maintain the individual in the community; and temporary crisis supervision to ensure the safety of the individual and others.~~

~~"DMAS" means the Department of Medical Assistance Services.~~

~~"DMHMRSAS" means the Department of Mental Health, Mental Retardation and Substance Abuse Services.~~

~~"DMHMRSAS staff" means individuals employed by the Department of Mental Health, Mental Retardation and Substance Abuse Services to perform utilization review, recommendation of preauthorization for service type and intensity, and review of individual level of care criteria.~~

~~"DRS" means the Department of Rehabilitative Services.~~

~~"DSS" means the Department of Social Services.~~

~~"Day support" means training in intellectual, sensory, motor, and affective social development including awareness skills, sensory stimulation, use of appropriate behaviors and social skills, learning and problem solving, communication and self care, physical development, transportation to and from training sites, services and support activities, and prevocational services aimed at preparing an individual for paid or unpaid employment.~~

~~"Developmental risk" means the presence before, during or after an individual's birth of conditions typically identified as related to the occurrence of a developmental disability and for which no specific developmental disability is identifiable through diagnostic and evaluative criteria.~~

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~~"Environmental modifications" means physical adaptations to a house, place of residence, vehicle, or work site, when the modification exceeds reasonable accommodation requirements of the Americans with Disabilities Act, necessary to ensure the individual's health and safety or enable functioning with greater independence when the adaptation is not being used to bring a substandard dwelling up to minimum habitation standards and is of direct medical or remedial benefit to the individual.~~

~~"EPSDT" means the Early Periodic Screening, Diagnosis and Treatment program administered by the Department of Medical Assistance Services for children under the age of 21 according to federal guidelines which prescribe specific preventive and treatment services for Medicaid-eligible children.~~

~~"HCFA" means the Health Care Financing Administration as that unit of the federal Department of Health and Human Services which administers the Medicare and Medicaid programs.~~

~~"Individual Service Plan" or "ISP" means the service plan developed by the individual service provider related solely to the specific tasks required of that service provider. ISPs help to comprise the overall Consumer Service Plan of care for the individual. The ISP is defined in DMHMRSAS licensing regulations 12 VAC 35-102-10 et seq.~~

~~"Mental retardation" means the diagnostic classification of substantial subaverage general intellectual functioning which originates during the developmental period and is associated with impairment in adaptive behavior.~~

~~"Nursing services" means skilled nursing services listed in the plan of care which are ordered by a physician and required to prevent institutionalization, not available under the State Plan for Medical Assistance, are within the scope of the state's Nurse Practice Act and are provided by a~~

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~~registered professional nurse, or licensed practical nurse under the supervision of a registered nurse, licensed to practice in the state.~~

~~"Personal assistance" means assistance with activities of daily living, medication and/or other medical needs and monitoring health status and physical condition for individuals who do not receive residential support services and for whom training and skills development are not primary objectives or are provided through another program or service.~~

~~"Persons with related conditions served by this waiver" means persons residing in nursing facilities who have been determined through annual resident review to require specialized services and who, consistent with 42 CFR 435.1009, are individuals who have severe, chronic disabilities that meet all of the following conditions:~~

~~1. It is attributable to:~~

~~a. Cerebral palsy or epilepsy; or~~

~~b. Any other condition other than mental illness found to be closely related to mental retardation because this condition results in impairment of general intellectual functioning or adaptive behavior similar to that of mentally retarded persons and requires treatment or services similar to those required for these persons.~~

~~2. It is manifested before the person reaches age 22.~~

~~3. It is likely to continue indefinitely.~~

~~4. It results in substantial functional limitations in three or more of the following areas of major life activity:~~

~~a. Self care.~~

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~~b. Understanding and use of language.~~

~~c. Learning.~~

~~d. Mobility.~~

~~e. Self direction.~~

~~f. Capacity for independent living.~~

~~"Prevocational services" means services aimed at preparing an individual for paid or unpaid employment. The services do not include activities that are specifically job or task oriented but focus on goals such as attention span and motor skills. Compensation, if provided, would be for persons whose productivity is less than 50% of the minimum wage.~~

~~"Qualified mental retardation professional" means individuals possessing (i) at least one year of documented experience working directly with individuals who have mental retardation or developmental disabilities; (ii) a bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, and psychology; and (iii) the required Virginia or national license, registration or certification in accordance with his profession.~~

~~"Residential support services" means support provided in a licensed or certified residence or in the individual's home. This service is one in which support and supervision is routinely provided. Support includes training, assistance, and supervision in enabling individuals to maintain or improve their health, to develop skills in activities of daily living, and safety, in the use of community resources, and adapting their behavior to community and home like environments. Reimbursement for residential support shall not include the cost of room, board, and general supervision.~~

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~~"Respite care" means services given to individuals unable to care for themselves provided on a short-term basis because of the absence or need for relief of those persons normally providing the care.~~

~~"State Plan for Medical Assistance" or "Plan" means the regulations identifying the covered groups, covered services and their limitations, and provider reimbursement methodologies as provided for under Title XIX of the Social Security Act.~~

~~"Supported employment" means training in specific skills related to paid employment and provision of ongoing or intermittent assistance or specialized supervision to enable a consumer to maintain paid employment provided to mentally retarded individuals.~~

~~"Therapeutic consultation" means consultation provided by members of psychology, social work, behavioral analysis, speech therapy, occupational therapy, therapeutic recreation, physical therapy disciplines, or behavior consultation to assist the individual, parents/family members, Part H early intervention providers, residential support, day support and any other providers of support services in implementing an individual service plan.~~

***12 VAC 30-120-211. Definitions.***

*"Activities of daily living" or "ADL" means personal care tasks, e.g., bathing, dressing, toileting, transferring, and eating/feeding. An individual's degree of independence in performing these activities is a part of determining appropriate level of care and service needs.*

*["Appeal" means the process used to challenge adverse actions regarding services, benefits and reimbursement provided by Medicaid pursuant to 12 VAC 30-110-10 et seq. and 12 VAC 30-20-500 through 30-20-560.]*

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*"Assistive technology" or "AT" means specialized medical equipment and supplies to include devices, controls, or appliances, specified in the consumer service plan but not available under the State Plan for Medical Assistance, which enable individuals to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live. This service also includes items necessary for life support, ancillary supplies and equipment necessary to the proper functioning of such items, and durable and nondurable medical equipment not available under the Medicaid State Plan.*

*"Behavioral health authority" or "BHA" means the local agency, established by a city or county under Chapter 15 (§ 37.1-242 et seq.) of Title 37.1 of the Code of Virginia that plans, provides, and evaluates mental health, mental retardation, and substance abuse services in the locality that it serves.*

*"CMS" means the Centers for Medicare and Medicaid Services, which is the unit of the federal Department of Health and Human Services that administers the Medicare and Medicaid programs.*

*"Case management" means the [~~assessment~~ assessing] and planning of services; linking the individual to services and supports identified in the consumer service plan; assisting the individual directly for the purpose of locating, developing or obtaining needed services and resources; coordinating services and service planning with other agencies and providers involved with the individual; enhancing community integration; making collateral contacts to promote the implementation of the consumer service plan and community integration; monitoring to assess ongoing progress and ensuring services are delivered; and education and counseling that guides the individual and develops a supportive relationship that promotes the consumer service plan.*

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*"Case manager" means [he individual on behalf of] the community services board or behavioral health authority [~~staff~~] possessing a combination of mental retardation work experience and relevant education that indicates that the [~~staff~~ individual] possesses the knowledge, skills and abilities at entry level, as established by the Department of [~~Mental Health, Mental Retardation and Substance Abuse Services, Medical Assistance Services in 12 VAC 30-50-450.~~ necessary to perform case management services].*

*"Community services board" or "CSB" means the local agency, established by a city or county or combination of counties or cities or cities and counties under Chapter 10 (§ 37.1-194 et seq.) of Title 37.1 of the Code of Virginia, that plans, provides, and evaluates mental health, mental retardation, and substance abuse services in the jurisdiction or jurisdictions it serves.*

*"Companion" means, for the purpose of these regulations, a person who provides companion services.*

*"Companion services" means non-medical care, support, and socialization, provided to an adult (age 18 and over). The provision of companion services does not entail hands-on nursing care. It is provided in accordance with a therapeutic goal in the consumer service plan and is not purely diversional in nature.*

*"Comprehensive assessment" means the gathering of relevant social, psychological, medical and level of care information by the case manager and is used as a basis for the development of the consumer service plan.*

*"Consumer-directed services" means services for which the individual or family/caregiver is responsible for hiring, training, supervising, and firing of the staff.*

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*"Consumer-directed (CD) services facilitator" means the DMAS-enrolled provider who is responsible for supporting the individual and family/caregiver by ensuring the development and monitoring of the Consumer-Directed Services Individual Service Plan, providing employee management training, and completing ongoing review activities as required by DMAS for consumer-directed companion, personal assistance, and respite services.*

*"Consumer service plan" or "CSP" means [ ~~that document~~ documents ] addressing needs in all life areas of individuals who receive [~~home and community-based~~] mental retardation waiver services, and is comprised of individual service plans as dictated by the individual's health care and support needs. The individual service plans are incorporated in the CSP by the case manager.*

*"Crisis stabilization" means direct intervention to persons with mental retardation who are experiencing serious psychiatric or behavioral challenges that jeopardize their current community living situation[ ;] by providing temporary intensive services and supports that avert emergency psychiatric hospitalization or institutional placement or prevent other out-of-home placement. This service [~~must~~shall be designed to] stabilize the individual and strengthen the current living situation so the individual can be supported in the community during and beyond the crisis period.*

*"DMAS" means the Department of Medical Assistance Services.*

*"DMAS staff" means persons employed by the Department of Medical Assistance Services.*

*"DMHMRSAS" means the Department of Mental Health, Mental Retardation and Substance Abuse Services.*

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*"DMHMRSAS staff" means persons employed by the Department of Mental Health, Mental Retardation and Substance Abuse Services.*

*"DRS" means the Department of Rehabilitative Services.*

*"DSS" means the Department of Social Services.*

*"Day support" means training, assistance, and specialized supervision in the acquisition, retention, or improvement of self-help, socialization, and adaptive skills, which typically take place [~~separately from~~ outside] the home in which the individual resides. Day support services shall focus on enabling the individual to attain or maintain his or her maximum functional level.*

*"Developmental risk" means the presence before, during or after an individual's birth of conditions typically identified as related to the occurrence of a developmental disability and for which no specific developmental disability is identifiable through existing diagnostic and evaluative criteria.*

*"Direct marketing" means either (i) conducting directly or indirectly door-to-door, telephonic or other "cold call" marketing of services at residences and provider sites; (ii) mailing directly; (iii) paying "finders' fees"; (iv) offering financial incentives, rewards, gifts or special opportunities to eligible individuals or family/caregivers as inducements to use the providers' services; (v) continuous, periodic marketing activities to the same prospective individual or family/caregiver, for example, monthly, quarterly, or annual giveaways as inducements to use the providers' services; or (vi) engaging in marketing activities that offer potential customers rebates or discounts in conjunction with the use of the providers' services or other benefits as a means of influencing the individual's or family/caregiver's use of the providers' services.*

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["Enroll" means that the individual has been determined by the case manager to meet the eligibility requirements for the MR Waiver and DMHMRSAS has verified the availability of a MR Waiver slot for that individual.]

"Entrepreneurial model" means a small business employing ~~[fewer than]~~ eight [or fewer] individuals who have disabilities on a shift and usually involves interactions with the public and with coworkers without disabilities.

"Environmental modifications" means physical adaptations to a house, place of residence, or vehicle that are necessary to ensure the individual's health and safety or enable functioning with greater independence when the adaptation is not being used to bring a substandard dwelling up to minimum habitation standards and is of direct medical or remedial benefit to the individual.

"EPSDT" means the Early Periodic Screening, Diagnosis and Treatment program administered by DMAS for children under the age of 21 according to federal guidelines that prescribe preventive and treatment services for Medicaid-eligible children [as defined in 12 VAC 30-50-130.]

["Facilitator" means the DMAS-enrolled provider who is responsible for supporting the individual and family/caregiver by ensuring the development and monitoring of the Consumer-Directed Services Individual Service Plan, providing employee management training, and completing ongoing review activities as required by DMAS for consumer-directed companion, personal assistance, and respite services.]

"Fiscal agent" means an agency or organization within DMAS or contracted by DMAS to handle employment, payroll, and tax responsibilities on behalf of individuals who are receiving consumer-directed personal assistance, respite, and companion services.

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*"Health and safety standard" means that an individual's right to receive a service is dependent on a finding that the individual needs the service, based on appropriate assessment criteria and a written[ ~~plan of care~~ individual service plan.]*

*"Home and community-based waiver services" or "waiver services" means the range of community support services approved by the Centers for Medicare and Medicaid Services (CMS) pursuant to § 1915(c) of the Social Security Act to be offered to persons with mental retardation and children younger than age six who are at developmental risk who would otherwise require the level of care provided in an Intermediate Care Facility for the Mentally Retarded (ICF/MR.)*

*"ICF/MR" means a facility or distinct part of a facility certified by the Virginia Department of Health, as meeting the federal certification regulations for an Intermediate Care Facility for the Mentally Retarded and persons with related conditions. These facilities must address the total needs of the residents, which include physical, intellectual, social, emotional, and habilitation, and must provide active treatment.*

*"Individual" means the person receiving the services [~~and~~or] evaluations established in these regulations.*

*"Individual service plan" or "ISP" means the service plan related solely to the specific waiver service. Multiple ISPs help to comprise the overall consumer service plan.*

*"Instrumental activities of daily living" or "IADLs" means tasks such as meal preparation, shopping, housekeeping, laundry, and money management.*

*[~~"Legally responsible relative" means the individual's spouse or parent (for children under age 18).]~~*

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*[“ISAR” means the Individual Service Authorization Request and is the DMAS form used by providers to request prior authorization for MR waiver services.]*

*"Mental retardation" or "MR" means mental retardation as defined by the American Association on Mental Retardation (AAMR).*

~~*["Nursing services" means skilled nursing services that are ordered by a physician and required to prevent institutionalization, that are not otherwise available under the State Plan for Medical Assistance, that are within the scope of the Chapters 30 (§ 54.1-3000 et seq.) and 34 (§ 54.1-3400 et seq.) of Subtitle III of Title 54.1 of the Code of Virginia, and that are provided by a registered professional nurse or by a licensed practical nurse under the supervision of a registered nurse who is licensed to practice in the Commonwealth.]*~~

*"Participating provider" means an entity that meets the standards and requirements set forth by DMAS and DMHMRSAS, and has a current, signed provider participation agreement with DMAS.*

*"Pend" means delaying the consideration of an individual's request for services until all required information is received by DMHMRSAS.*

*"Personal assistance services" means assistance with activities of daily living, instrumental activities of daily living, access to the community, self-administration of medication, or other medical needs, and the monitoring of health status and physical condition.*

*"Personal assistant" means a person who provides personal assistance services.*

*"Personal emergency response system (PERS)" is an electronic device that enables certain individuals at high risk of institutionalization to secure help in an emergency. PERS services are limited to those individuals who live alone or are alone for significant parts of the day and who*

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*have no regular caregiver for extended periods of time, and who would otherwise require extensive routine supervision.*

*[“Preauthorized” means that an individual service has been approved by DMHMRSAS prior to commencement of the service by the service provider for initiation and reimbursement of services.]*

*"Prevocational services" means services aimed at preparing an individual for paid or unpaid employment. The services do not include activities that are specifically job-task oriented but focus on concepts such as accepting supervision, attendance, task completion, problem solving and safety. Compensation, if provided, is less than 50% of the minimum wage.*

*"Qualified mental retardation professional" means a professional possessing: (i) at least one year of documented experience working directly with individuals who have mental retardation or developmental disabilities; (ii) a bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology; and (iii) the required Virginia or national license, registration, or certification in accordance with his profession, if applicable.*

*"Residential support services" means support provided in the individual's home by a DMHMRSAS-licensed residential provider or a DSS-approved provider[of adult foster care services.] This service is one in which training, assistance, and supervision is routinely provided to enable individuals to maintain or improve their health, to develop skills in activities of daily living and safety in the use of community resources, ~~[and in adapting to adapt]~~ their behavior to community and home-like environments , to develop relationships, and participate as citizens in the community].*

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*"Respite services" means services provided to individuals who are unable to care for themselves, furnished on a short-term basis because of the absence or need for relief of those unpaid persons normally providing the care.*

*["Skilled nursing services" means services that are ordered by a physician and required to prevent institutionalization, that are not otherwise available under the State Plan for Medical Assistance and that are provided by a licensed registered professional nurse, or by a licensed practical nurse under the supervision of a licensed registered professional nurse, in each case who is licensed to practice in the Commonwealth.]*

*"Slot" means an opening or vacancy of waiver services for an individual.*

*"State Plan for Medical Assistance" or "Plan" means the regulations identifying the covered groups, covered services and their limitations, and provider reimbursement methodologies as provided for under Title XIX of the Social Security Act.*

*"Supported employment" means work in settings in which persons without disabilities are typically employed. It includes training in specific skills related to paid employment and the provision of ongoing or intermittent assistance and specialized supervision to enable an individual with mental retardation to maintain paid employment.*

*["Support plan" means the report of recommendations resulting from a therapeutic consultation.]*

*"Therapeutic consultation" means activities to assist the individual, family/caregivers, staff of residential support, day support, and any other providers in implementing an individual ~~[program~~service ] plan.*

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*12 VAC 30-120-213. General coverage and requirements for ~~home and community-based~~*

*MR waiver services.*

*A. Waiver service populations. Home and community-based [waiver] services shall be available through a § 1915(c) of the Social Security Act waiver for the following individuals who have been determined to require the level of care provided in an ICF/MR.*

*1. Individuals with mental retardation;[or]*

*2. Individuals younger than the age of six who are at developmental risk. At the age of six years, these individuals must have a diagnosis of mental retardation to continue to receive home and community-based [waiver] services specifically under this program.*

*B. Covered services.*

*1. Covered services shall include: residential support services, day support, supported employment, personal assistance (both consumer and agency-directed), respite services (both consumer and agency-directed), assistive technology, environmental modifications, skilled nursing services, therapeutic consultation, crisis stabilization, prevocational services, personal emergency response systems (PERS), and companion services (both consumer and agency-directed.)*

*2. These services shall be ~~[clinically]~~ appropriate and necessary to maintain the individual in the community. Federal waiver requirements provide that the average per capita fiscal year expenditures under the waiver must not exceed the average per capita expenditures for the level of care provided in Intermediate Care Facilities for the Mentally Retarded under the State Plan that would have been provided had the waiver not been granted.*

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3. *Under this § 1915(c) waiver, DMAS waives § 1902(a)(10)(B) of the Social Security Act related to comparability.*

*C. All requests for increased services by MR waiver recipients will be reviewed under the health and safety standard. This standard assures that an individual's right to receive a service is dependent on a finding that the individual needs the service, based on appropriate assessment criteria [ and a written ISP.]*

*D. Appeals. Individual appeals shall be considered pursuant to 12 VAC 30-110-10 through 12 VAC 30-110-380. Provider appeals shall be considered pursuant to 12 VAC 30-10-1000 and 12 VAC 30-20-500 through 12 VAC 30-20-560.*

*E. Urgent criteria. The CSB/BHA will determine, from among the individuals included in the urgent category, who should be served first, based on the needs of the individual at the time a slot becomes available and not on any predetermined numerical or chronological order.*

*1. The urgent category will be assigned when the individual is in need of services because he is determined to meet one of the criteria established in subdivision 2 of this subsection. Assignment to the urgent category may be requested by the individual, his legally responsible relative, or primary caregiver. The urgent category may be assigned only when the individual [, the individuals spouse, or the parent of an individual who is a minor child ~~or legally responsible relative~~ ] would accept the [~~preferred~~ requested] service if it were offered. Only after all individuals in the Commonwealth who meet the urgent criteria have been served can individuals in the non-urgent category be served. [Individuals in the non-urgent category are those who meet the diagnostic and functional criteria for the waiver, including the need for services within 30 days, but who do not meet the urgent criteria.] In the event that a CSB/BHA*

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*has a vacant slot and does not have an individual who meets the urgent criteria, the slot can be held by the CSB/BHA for 90 days from the date it is identified as vacant, in case someone in an urgent situation is identified. If no one meeting the urgent criteria is identified within 90 days, the slot will be made available for allocation to another CSB/BHA in the Health Planning Region (HPR). If there is no urgent need at the time that the HPR is to make a regional reallocation of a waiver slot, the HPR shall notify DMHMRSAS. DMHMRSAS shall have the authority to reallocate said slot to another HPR or CSB/BHA where there is unmet urgent need. Said authority must be exercised, if at all, within 30 days from receiving such notice.*

*2. Satisfaction of one or more of the following criteria shall indicate that the individual should be placed on the urgent need of waiver services list:*

*a. ~~[ Both Primary primary caregiver caregivers are 55 years of age or older, or if there is one primary caregiver, that primary caregiver is or caregivers is or are ]~~55 years of age or older;*

*b. The individual is living with a primary caregiver, who is providing the service voluntarily and without pay, and the primary caregiver indicates that he can no longer care for the individual with mental retardation;*

*c. There is a clear risk of abuse, neglect, or exploitation;*

*d. ~~[One~~The primary caregiver, or both caregivers,] has a chronic or long term physical or psychiatric condition or conditions which significantly ~~[limit his ability~~ limits the abilities of the primary caregiver or caregivers ] to care for the individual with mental retardation;*

*e. Individual is aging out of publicly funded residential placement or otherwise becoming homeless (exclusive of children who are graduating from high school); or*

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*f. The individual with mental retardation lives with the primary caregiver and there is a risk to the health or safety of the individual, primary caregiver, or other individual living in the home due to either of the following conditions:*

*(1) The individual's behavior or behaviors present a risk to himself or others which cannot be effectively managed by the primary caregiver even with generic or specialized support arranged or provided by the CSB/BHA; or*

*(2) There are physical care needs (such as lifting or bathing) or medical needs that cannot be managed by the primary caregiver even with generic or specialized supports arranged or provided the CSB/BHA.*

*F. Reevaluation of service need and utilization review. Providers shall meet the documentation requirements as specified in ~~[12 VAC 30-120-214 B~~ 12 VAC 30-120-217 B].*

*1. The consumer service plan (CSP).*

*a. The CSP shall be developed by the case manager mutually with the individual, the individual's family/caregiver, other service providers, consultants, and other interested parties based on relevant, current assessment data. The CSP development process identifies the services to be rendered to individuals, the frequency of services, the type of service provider or providers, and a description of the services to be offered. The ISP from each waiver service provider shall be incorporated into the CSP. Only services authorized on the CSP by DMHMRSAS according to DMAS policies will be reimbursed by DMAS. ~~[ There shall be a limit of 780 units per CSP year for day support, prevocational and supported employment services, either as stand alone services or combined.]~~*

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b. *The case manager is responsible for continuous monitoring of the appropriateness of the individual's [~~supporting documentation~~ services] and revisions to the CSP as indicated by the changing needs of the individual. At a minimum, the case manager must review the CSP every three months to determine whether service goals and objectives are being met and whether any modifications to the CSP are necessary.*

c. *Any modification to the amount or type of services in the CSP must be authorized by DMHMRSAS [~~staff~~] or DMAS.*

2. *Review of level of care.*

a. *The case manager shall complete a comprehensive assessment annually, in coordination with the individual, family/caregiver, and service providers. If warranted, the case manager shall coordinate a medical examination and a psychological evaluation for the individual. The reassessment shall include an update of the level of care and functional assessment instrument and any other appropriate assessment data. The CSP shall be revised [~~if~~ as] appropriate.*

b. *A medical examination must be completed for adults based on need identified by the individual, family/caregiver, provider, case manager, or DMHMRSAS staff. Medical examinations [and screenings] for children must be completed according to the recommended frequency and periodicity of the EPSDT program.*

c. *A psychological evaluation or standardized developmental assessment for children under six years of age must reflect the current psychological status (diagnosis), adaptive level of functioning, and cognitive abilities. A new psychological evaluation shall be required*

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*whenever the individual's functioning has undergone significant change and is no longer reflective of the past psychological evaluation.*

*3. Case manager must [~~ensure the receipt of request~~] an updated DMAS-122 form [~~from DSS annually. The case manager must and~~] forward a copy of the updated DMAS-122 form to all service providers [when obtained.]*

**12 VAC 30-120-215. Individual eligibility requirements.**

*A. Individuals receiving services under this waiver must meet the following requirements. Virginia will apply the financial eligibility criteria contained in the State Plan for the categorically needy. Virginia has elected to cover the optional categorically needy groups under 42 CFR 435.211, 435.217, and 435.230. The income level used for 42 CFR 435.211, 435.217 and 435.230 is 300% of the current Supplemental Security Income payment standard for one person.*

*1. Under this waiver, the coverage groups authorized under § 1902(a)(10)(A)(ii)(VI) of the Social Security Act will be considered as if they were institutionalized for the purpose of applying institutional deeming rules. All recipients under the waiver must meet the financial and non-financial Medicaid eligibility criteria and meet the institutional level of care criteria. The deeming rules are applied to waiver eligible individuals as if the individual were residing in an institution or would require that level of care.*

*2. Virginia shall reduce its payment for home and community-based waiver services provided to an individual who is eligible for Medicaid services under 42 CFR 435.217 by that amount of the individual's total income (including amounts disregarded in determining eligibility) that remains after allowable deductions for personal maintenance needs, deductions for other*

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*dependents, and medical needs have been made, according to the guidelines in 42 CFR 435.735 and § 1915(c)(3) of the Social Security Act as amended by the Consolidated Omnibus Budget Reconciliation Act of 1986. DMAS will reduce its payment for home and community-based waiver services by the amount that remains after the deductions listed below:*

*a. For individuals to whom § 1924(d) applies and for whom Virginia waives the requirement for comparability pursuant to § 1902(a)(10)(B), deduct the following in the respective order:*

*(1) The basic maintenance needs for an individual, which is equal to the SSI payment for one person. ~~[For the period beginning with October 17, 2001, through December 31, 2001, those individuals involved in a planned habilitation program carried out as either a supported employment, prevocational, or vocational training shall be allowed to retain an additional amount not to exceed the first \$75.00 of gross earnings each month and up to 50% of any additional gross earnings up to a maximum earnings allowance of \$190 monthly.]~~As of January 1, 2002, due to expenses of employment, a working individual shall have an additional income allowance. For an individual employed 20 hours or more per week, earned income shall be disregarded up to a maximum of both earned and unearned income up to 300% SSI; for an individual employed at least eight but less than 20 hours per week, earned income shall be disregarded up to a maximum of both earned and unearned income up to 200% of SSI. If the individual requires a guardian or conservator who charges a fee, the fee, not to exceed an amount greater than 5.0% of the individual's total monthly income, is added to the maintenance needs allowance. However, in no case shall the total amount of the maintenance needs allowance (basic allowance plus earned income allowance plus guardianship fees) for the individual exceed 300% of SSI. (The guardianship fee is not to exceed 5.0% of the individual's total monthly income.)*

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(2) *For an individual with only a spouse at home, the community spousal income allowance determined in accordance with § 1924(d) of the Social Security Act.*

(3) *For an individual with a family at home, an additional amount for the maintenance needs of the family determined in accordance with § 1924(d) of the Social Security Act.*

(4) *Amounts for incurred expenses for medical or remedial care that are not subject to payment by a third party including Medicare and other health insurance premiums, deductibles, or coinsurance charges and necessary medical or remedial care recognized under state law but not covered under the plan.*

*b. For individuals to whom § 1924(d) does not apply and for whom Virginia waives the requirement for comparability pursuant to § 1902(a)(10)(B), deduct the following in the respective order:*

*(1) The basic maintenance needs for an individual, which is equal to the SSI payment for one person. ~~For the period beginning with October 17, 2001, through December 31, 2001, those individuals involved in a planned habilitation program carried out as either supported employment, prevocational, or vocational training shall be allowed to retain an additional amount not to exceed the first \$75 of gross earnings each month and up to 50% of any additional gross earnings up to a maximum earnings allowance of \$190 monthly.~~*

*As of January 1, 2002, due to expenses of employment, a working individual shall have an additional income allowance. For an individual employed 20 hours or more per week, earned income shall be disregarded up to a maximum of both earned and unearned income up to 300% SSI; for an individual employed at least eight but less than 20 hours per week, earned income shall be disregarded up to a maximum of both earned and unearned income*

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*up to 200% of SSI. If the individual requires a guardian or conservator who charges a fee, the fee, not to exceed an amount greater than 5.0% of the individual's total monthly income, is added to the maintenance needs allowance. However, in no case shall the total amount of the maintenance needs allowance (basic allowance plus earned income allowance plus guardianship fees) for the individual exceed 300% of SSI. (The guardianship fee is not to exceed 5.0% of the individual's total monthly income.)*

*(2) For an individual with a dependent child or children, an additional amount for the maintenance needs of the child or children, which shall be equal to the Title XIX medically needy income standard based on the number of dependent children.*

*(3) Amounts for incurred expenses for medical or remedial care that are not subject to payment by a third party including Medicare and other health insurance premiums, deductibles, or coinsurance charges and necessary medical or remedial care recognized under state law but not covered under the State Medical Assistance Plan.*

*3. The following four criteria shall apply to all mental retardation waiver services:*

*a. Individuals qualifying for mental retardation waiver services must have a demonstrated ~~[clinical]~~ need for the service resulting in significant functional limitations in major life activities. The need for the service must arise from either (i) an individual having a diagnosed condition of mental retardation or (ii) a child younger than six years of age being at developmental risk of significant functional limitations in major life activities;*

*b. The CSP and services that are delivered must be consistent with the Medicaid definition of each service;*

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*c. Services must be recommended by the case manager based on a current functional assessment using a DMHMRSAS approved assessment instrument and a demonstrated need for each specific service; and*

*d. Individuals qualifying for mental retardation waiver services must meet the ICF/MR level of care criteria.*

*B. Assessment and authorization of home and community-based [waiver] services.*

*1. To ensure that Virginia's home and community-based waiver programs serve only individuals who would otherwise be placed in an ICF/MR, home and community-based [waiver] services shall be considered only for individuals who are eligible for admission to an ICF/MR with a diagnosis of mental retardation, or who are under six years of age and at developmental risk. Home and community-based [waiver] services shall be the critical service that enables the individual to remain at home and in the community rather than being placed in an ICF/MR.*

*2. ~~[ The individual's need for home and community based [waiver] services shall be determined by the case manager~~ The case manager shall recommend the individual for home and community based waiver services ] after completion of a comprehensive assessment of the individual's needs and available supports. The comprehensive assessment includes relevant medical, social, level of care and psychological data, and identifies all services received by the individual. Medical examinations and social assessments shall be current, completed prior to the individual's entry to the waiver, and no earlier than 12 months prior to beginning waiver services. Psychological evaluations or standardized developmental evaluations for children*

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*under the age of six years must reflect the current psychological status (diagnosis), current cognitive abilities, and current adaptive level of functioning of the individuals.*

*3. An essential part of the case manager's assessment process shall be determining the level of care required by applying the existing DMAS ICF/MR criteria (12 VAC 30-130-430 et seq.).*

*4. The case manager shall complete the assessment, determine whether the individual meets the ICF/MR criteria and develop the CSP with input from the individual, family/caregivers, and service and support providers involved in the individual's support in the community. Completion of this assessment process for home and community-based [waiver] services by the case manager is mandatory before Medicaid will assume payment responsibility of home and community-based [waiver] services. For the case manager to make a recommendation for waiver services, [MR Waiver services ~~community based waiver services~~] must be determined to be an appropriate service alternative to delay or avoid placement in an ICF/MR, or promote exiting from either an ICF/MR placement or inappropriate institutional placement.*

*5. The case manager shall provide the individual and family/caregiver with the choice of MR waiver services or ICF/MR placement, choice of [~~medically necessary~~ needed] services available under the MR waiver, including agency or consumer-directed services, and explore alternative settings and services to provide the services needed by the individual. A CSP shall be developed for the individual based on the assessment of needs as reflected in the level of care and functional assessment instruments and the individual's, family/caregiver's preferences.*

*6. The case manager must submit the results of the comprehensive assessment and a recommendation to the DMHMRSAS staff for final determination of ICF/MR level of care and*

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*authorization for community-based services. DMHMRSAS will communicate in writing to the case manager whether the recommended services have been approved and the amounts and type of services authorized or if any have been denied. Medicaid will not pay for any home and community-based [waiver] services delivered prior to the authorization date approved by DMHMRSAS if prior authorization is required.*

*7. [~~Community-based~~ Mental Retardation] waiver services may be recommended by the case manager only if:*

*a. The individual is Medicaid eligible as determined by the local office of the Department of Social Services;*

*b. The individual has a diagnosis of mental retardation as defined by the American Association on Mental Retardation, or is a child under the age of six at developmental risk, who would in the absence of waiver services, require the level of care provided in an ICF/MR facility the cost of which would be reimbursed under the Plan;*

*c. The contents of the individual service plans are consistent with the Medicaid definition of each service; and*

*d. The individual requesting waiver services is not receiving such services while an inpatient of a nursing facility, an ICF/MR, or hospital.*

*8. All consumer service plans are subject to approval by DMAS. DMAS shall be the single state agency authority responsible for the supervision of the administration of the [ MR ] [~~community-based~~] waiver and is responsible for conducting utilization review activities. DMAS has contracted with DMHMRSAS for recommendation of preauthorization of waiver services.*

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*C. Waiver approval process: accessing services.*

*1. Once the case manager has determined an individual meets the functional criteria for mental retardation (MR) waiver services, has determined that a slot is available [.] and that the individual has chosen this service, the case manager [ shall submit enrollment information to DMHMRSAS to confirm level of care eligibility and the availability of a slot. DMHMRSAS shall only enroll the individual if a slot is available ~~and the individual or individual's family/caregiver will meet within 30 calendar days to discuss the individual's needs and existing supports, and to develop a CSP that will establish and document the needed services~~].*

*[~~2. The case manager submits enrollment information to DMHMRSAS to confirm level of care eligibility and the availability of a slot. DMHMRSAS shall only enroll the individual if a slot is identified~~]. If no slot is available, the individual's name will be placed on [ either the urgent or non-urgent] statewide waiting list until such time as a slot becomes available.] Once notification has been received from DMHMRSAS that the individual has been placed on either the urgent or non-urgent waiting list, the case manager must notify the individual in writing within 10 working days of his placement on either list, and offer appeal rights.]*

*3. Once the individual has been enrolled by DMHMRSAS, the case manager will submit a DMAS-122 along with a written confirmation from DMHMRSAS of level of care eligibility, to the local DSS to determine financial eligibility for the waiver program and any patient pay responsibilities. After the case manager has received written notification of Medicaid eligibility by DSS and written enrollment from DMHMRSAS, the case manager shall inform the individual [or family/caregiver] so that [ the CSP can be developed. The individual or individual's family/caregiver will meet with the case manager within 30 calendar days to discuss the individual's needs and existing supports, and to develop a CSP that will establish*

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and document the needed services~~services listed in the CSP can be initiated.~~] The individual or case manager shall contact [chosen] service providers so that~~the individual may receive ]~~ services [can be initiated] within 60 days. If services are not initiated by the provider within 60 days, the case manager must submit written information to DMHMRSAS requesting more time to initiate services. A copy of the request must be provided to the individual or the individual's family/caregiver. DMHMRSAS has the authority to approve the request in 30-day extensions or deny the request to retain the waiver slot for that individual. [DMHMRSAS shall provide a written response to the case manager indicating denial or approval of the extension. DMHMRSAS shall submit this response within 10 working days of the receipt of the request for extension.]

4. The service providers will develop Individual Service Plans (ISP) for each service and will submit a copy of these plans to the case manager. The case manager will review and ensure the ISP meets the established service criteria for the identified needs and forward the required documentation to DMHMRSAS for prior authorization. DMHMRSAS shall, within 10 working days of receiving all supporting documentation,~~either~~ review and ] approve, pend for more information, or deny the individual service requests.

5. The case manager will monitor the service providers' ISPs to ensure that all providers are working toward the identified goals of the affected individuals.

6. Case managers will be required to conduct monthly onsite visits for all MR waiver individuals residing in DSS-licensed [assisted living facilities] or approved [adult foster care] placements.

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***12 VAC 30-120-217. General requirements for home and community-based participating providers.***

*A. Providers approved for participation shall, at a minimum, perform the following activities:*

*1. Immediately notify DMAS and DMHMRSAS, in writing, of any change in the information that the provider previously submitted to DMAS and DMHMRSAS;*

*2. Assure freedom of choice to individuals in seeking ~~[medical care]~~ services from any institution, pharmacy, practitioner, or other provider qualified to perform the service or services required and participating in the Medicaid program at the time the service or services were performed;*

*3. Assure the individual's freedom to refuse medical care ~~and~~ , treatment, and services;*

*4. Accept referrals for services only when staff is available to initiate services and perform such services on an ongoing basis;*

*5. Provide services and supplies to individuals in full compliance with Title VI of the Civil Rights Act of 1964, as amended (42 USC § 2000d et seq.), which prohibits discrimination on the grounds of race, color, or national origin; the Virginians with Disabilities Act (§ 51.5-1 et seq. of the Code of Virginia); § 504 of the Rehabilitation Act of 1973, as amended (29 USC § 794), which prohibits discrimination on the basis of a disability; and the Americans with Disabilities Act, as amended (42 USC § 12101 et seq.), which provides comprehensive civil rights protections to individuals with disabilities in the areas of employment, public accommodations, state and local government services, and telecommunications;*

*6. Provide services and supplies to individuals of the same quality and in the same mode of delivery as provided to the general public;*

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7. *Submit charges to DMAS for the provision of services and supplies to individuals in amounts not to exceed the provider's usual and customary charges to the general public [~~The provider must~~ and] accept as payment in full the amount established by DMAS payment methodology from the individual's authorization date for the waiver services;*

8. *Use program-designated billing forms for submission of charges;*

9. *Maintain and retain business and professional records sufficient to document fully and accurately the nature, scope, and details of the services provided;*

*a. In general, such records shall be retained for at least five years from the last date of service or as provided by applicable state laws, whichever period is longer. However, if an audit is initiated within the required retention period, the records shall be retained until the audit is completed and every exception resolved. Records of minors shall be kept for at least five years after such minor has reached the age of 18 years.*

*b. Policies regarding retention of records shall apply even if the provider discontinues operation. DMAS shall be notified in writing of storage location and procedures for obtaining records for review should the need arise. The location, agent, or trustee shall be within the Commonwealth of Virginia.*

10. *The provider agrees to furnish information on request and in the form requested to DMAS, DMHMRSAS, the Attorney General of Virginia or his authorized representatives, federal personnel, and the state Medicaid Fraud Control Unit. The Commonwealth's right of access to provider agencies and records shall survive any termination of the provider agreement;*

11. *Disclose, as requested by DMAS, all financial, beneficial, ownership, equity, surety, or other interests in any and all firms, corporations, partnerships, associations, business*

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*enterprises, joint ventures, agencies, institutions, or other legal entities providing any form of health care services to recipients of Medicaid;*

*12. [Pursuant to 42 CFR Part 431, Subpart F, 12 VAC 30-20-90, and any other applicable state law, all AH] providers shall hold confidential and use for authorized DMAS or DMHMRSAS purposes only all medical assistance information regarding individuals served. A provider shall disclose information in his possession only when the information is used in conjunction with a claim for health benefits [~~or~~] the data is necessary for the functioning of the DMAS [in conjunction with the cited laws];*

*13. Change of ownership. When ownership of the provider changes, DMAS shall be notified at least 15 calendar days before the date of change;*

*14. All facilities covered by § 1616(e) of the Social Security Act in which home and community-based [waiver] services will be provided shall be in compliance with applicable standards that meet the requirements for board and care facilities. Health and safety standards shall be monitored through the DMHMRSAS' licensure standards or through DSS-approved standards for adult foster care providers;*

*15. Suspected abuse or neglect. Pursuant to ~~§ 63.1-55.3~~ §§ 63.1-1606 and 63.2-1509 of the Code of Virginia, if a participating provider knows or suspects that a home and community-based [waiver] service individual is being abused, neglected, or exploited, the party having knowledge or suspicion of the abuse, neglect, or exploitation shall report this immediately from first knowledge to the local DSS adult or child protective services worker and to DMHMRSAS Offices of Licensing and Human Rights as applicable; and*

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*16. Adherence to provider participation agreement and the DMAS provider service manual. In addition to compliance with the general conditions and requirements, all providers enrolled by DMAS shall adhere to the conditions of participation outlined in their individual provider participation agreements and in the DMAS provider manual.*

*B. Documentation requirements.*

*1. The case manager must maintain the following documentation for utilization review by DMAS for a period of not less than five years from each individual's last date of service:*

- a. The comprehensive assessment and all CSPs completed for the individual;*
- b. All ISPs from every provider rendering waiver services to the individual;*
- c. All supporting documentation related to any change in the CSP;*
- d. All related communication with the individual, family/caregiver, consultants, providers, DMHMRSAS, DMAS, DSS, DRS or other related parties; and*
- e. An ongoing log that documents all contacts made by the case manager related to the individual and family/caregiver.*

*2. The service providers must maintain, for a period of not less than five years [from the individual's last date of service,] documentation necessary to support services billed. Utilization review of individual-specific documentation shall be conducted by DMAS staff. This documentation shall contain, up to and including the last date of service, all of the following:*

- a. All assessments and reassessments.*
  - b. All ISP's developed for that individual and the written reviews.*
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*c. An attendance log that documents the date services were rendered and the amount and type of services rendered.*

*d. Appropriate data, contact notes, or progress notes reflecting an individual's status and, as appropriate, progress or lack of progress toward the goals on the ISP.*

*e. Any documentation to support that services provided are appropriate and necessary to maintain the individual in the home and in the community.*

*[C. An individual's case manager shall not be the direct staff person or the immediate supervisor of a staff person who provides MR Waiver services for the individual.]*

***12 VAC 30-120-219. Participation standards for home and community-based [waiver services] participating providers.***

*A. Requests for participation will be screened to determine whether the provider applicant meets the basic requirements for participation.*

*B. For DMAS to approve provider agreements with home and community-based [waiver] providers, the following standards shall be met:*

*1. For services that have licensure and certification requirements, licensure and certification requirements pursuant to ~~[42 CFR 441.352]~~ 42 CFR § 441.302;*

*2. Disclosure of ownership pursuant to 42 CFR 455.104 and 455.105; [and]*

~~*[3. Administrative and financial management capacity to meet state and federal requirements; and]*~~

~~*[4.3] The ability to document and maintain individual case records in accordance with state and federal requirements.*~~

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C. ~~[Providers]~~The case manager must inform the ~~[waiver]~~ individual of all ~~[other]~~ available waiver providers in the community in which he desires services and he shall have the option of selecting the provider of his choice from among those providers meeting the individual's needs.

D. DMAS shall be responsible for assuring continued adherence to provider participation standards. DMAS shall conduct ongoing monitoring of compliance with provider participation standards and DMAS policies and periodically recertify each provider for participation agreement renewal with DMAS to provide home and community-based [waiver] services. A provider's noncompliance with DMAS policies and procedures, as required in the provider's participation agreement, may result in a written request from DMAS for a corrective action plan that details the steps the provider must take and the length of time permitted to achieve full compliance with the plan to correct the deficiencies that have been cited.

E. A participating provider may voluntarily terminate his participation in Medicaid by providing 30 days' written notification. ~~[DMAS shall be permitted to administratively terminate a provider from participation upon 30 days' written notification. DMAS may terminate at will a provider's participation agreement on 30 days' written notice. DMAS may also cancel a participation agreement immediately or may give notification of cancellation in the event of a breach of the agreement by the provider]~~ DMAS may terminate at will a provider's participation agreement on 30 days' written notice. DMAS may also immediately terminate a provider's participation agreement if the provider is no longer eligible to participate in the program. ] Such action precludes further payment by DMAS for services provided to individuals subsequent to the date specified in the termination notice.

F. A provider shall have the right to appeal adverse action taken by DMAS. Adverse actions may include, but shall not be limited to, termination of the provider agreement by DMAS, and retraction of payments from the provider by DMAS for noncompliance with applicable law,

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*regulation, policy, or procedure. All disputes regarding provider reimbursement or termination of the agreement by DMAS for any reason shall be resolved through administrative proceedings conducted at the office of DMAS in Richmond, Virginia. These administrative proceedings and judicial review of such administrative proceedings shall be conducted pursuant to the Virginia Administrative Process Act, Chapter 40 (§ 2.2-4000 et seq.) of Title 2.2 of the Code of Virginia, the State Plan for Medical Assistance provided for in § 32.1-325 of the Code of Virginia, and duly promulgated regulations. Court review of final agency determinations concerning provider reimbursement shall be made in accordance with the Administrative Process Act.*

*G. Section 32.1-325 of the Code of Virginia mandates that "any such [Medicaid] agreement or contract shall terminate upon conviction of the provider of a felony." A provider convicted of a felony in Virginia or in any other of the 50 states or Washington, DC, must, within 30 days, notify the Medicaid Program of this conviction and relinquish its provider agreement. ~~[Reinstatement will be contingent upon provisions of state law.]~~ In addition, termination of a provider participation agreement will occur as may be required for federal financial participation.*

*H. Case manager's responsibility for the Individual Information Form (DMAS-122). It shall be the responsibility of the case management provider to notify DMHMRSAS and DSS, in writing, when any of the following circumstances occur. Furthermore, it shall be the responsibility of DMHMRSAS to update DMAS[, as requested,]-when any of the following events occur:*

- 1. Home and community-based [waiver] services are implemented.*
  - 2. A recipient dies.*
  - 3. A recipient is discharged from all MR waiver services.*
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4. Any other circumstances (including hospitalization) that cause home and community-based ~~[waiver]~~ services to cease or be interrupted for more than 30 days.

5. A selection by the individual or family/caregiver of a different community services board/behavioral health authority providing case management services.

I. Changes or termination of services. It is the DMHMRSAS staff's responsibility to authorize changes to an individual's CSP based on the recommendations of the case management provider. Providers of direct service are responsible for modifying their individual service plans with the involvement of the individual or family/caregiver, and submitting it to the case manager any time there is a change in the individual's condition or circumstances which may warrant a change in the amount or type of service rendered. The case manager will review the need for a change and may recommend a change to the ISP to the DMHMRSAS staff. DMHMRSAS will review and approve, deny, or ~~request~~ ~~pend~~ for additional information regarding the requested change to the individual's ISP[,] and communicate this to the case manager within 10 working days of ~~[receipt receiving all supporting documentation of the regarding the]~~ request for change or in the case of an emergency, within 72 hours of receipt of the request for change.

The individual ~~[ or family/caregiver]~~ will be notified, in writing, of the right to appeal the decision or decisions to reduce, terminate, suspend or deny services pursuant to DMAS client appeals regulations, Part I (12 VAC 30-110-10 et seq.) of 12 VAC 30-110. [The case manager must submit this notification to the individual in writing within 12 days of the decision. ] All CSPs are subject to approval by the Medicaid agency.

1. In a non-emergency situation, the participating provider shall give the individual or family/caregiver and case manager ~~[10]~~ 12 days written notification of the provider's intent to

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*discontinue services. The notification letter shall provide the reasons and the effective date the provider is discontinuing services. The effective date shall be at least ~~ten~~ 12 days from the date of the notification letter. The individual is not eligible for appeal rights in this situation and may pursue services from another provider.*

*2. In an emergency situation when the health and safety of the individual[, other individuals in that setting,] or provider personnel is endangered, the case manager and DMHMRSAS must be notified prior to discontinuing services. The ~~[10~~ 12] day written notification period shall not be required. If appropriate, the local DSS adult protective services or child protective services and DMHMRSAS Offices of Licensing and Human Rights must be notified immediately.*

*3. In the case of termination of home and community-based [waiver] services by the CSB/BHA, DMHMRSAS or DMAS staff, individuals shall be notified of their appeal rights by the case manager pursuant to Part I (12 VAC 30-110-10 et seq.) of 12 VAC 30-110. The case manager shall have the responsibility to identify those individuals who no longer meet the level of care criteria or for whom home and community-based [waiver] services are no longer an appropriate alternative.*

**12 VAC 30-120-220. ~~General coverage and requirements for home and community-based care services.~~ (Repealed.)**

~~A. Waiver service populations. Home and community-based services shall be available through a § 1915(c) waiver. Coverage shall be provided under the waiver for the following individuals who have been determined to require the level of care provided in an intermediate care facility for the mentally retarded:~~

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~~1. Individuals with mental retardation.~~

~~2. Individuals with related conditions currently residing in nursing facilities but who are being discharged to the community and determined to require specialized services.~~

~~3. Individuals under the age of six at developmental risk. At age six, these individuals must be determined to be mentally retarded to continue to receive home and community-based care services.~~

~~B. Covered services.~~

~~1. Covered services shall include: residential support, day support, supported employment, personal assistance, respite care, assistive technology, environmental modifications, nursing services, therapeutic consultation, and crisis stabilization.~~

~~2. These services shall be clinically appropriate and necessary to maintain these individuals in the community. Federal waiver requirements provide that the average per capita fiscal year expenditure under the waiver must not exceed the average per capita expenditures for the level of care provided in an intermediate care facility for the mentally retarded under the State Plan that would have been made had the waiver not been granted.~~

~~C. Patient eligibility requirements.~~

~~1. Virginia shall apply the financial eligibility criteria contained in the State Plan for the categorically needy. Virginia has elected to cover the optional categorically needy group under 42 CFR 435.211, 435.217 and 435.230. The income level used for 435.211, 435.217 and 435.230 is 300% of the current Supplemental Security Income payment standard for one person.~~

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~~2. Under this waiver, the coverage groups authorized under §1902(a)(10)(A)(ii)(VI) of the Social Security Act will be considered as if they were institutionalized for the purpose of applying institutional deeming rules. All recipients under the waiver must meet the financial and nonfinancial Medicaid eligibility criteria and be Medicaid eligible in an institution. The deeming rules are applied to waiver eligible individuals as if the individual were residing in an institution or would require that level of care.~~

~~3. Virginia shall reduce its payment for home and community based services provided to an individual who is eligible for Medicaid services under 42 CFR 435.217 by that amount of the individual's total income (including amounts disregarded in determining eligibility) that remains after allowable deductions for personal maintenance needs, deductions for other dependents, and medical needs have been made, according to the guidelines in 42 CFR 435.735 and §1915(e)(3) of the Social Security Act as amended by the Consolidated Omnibus Budget Reconciliation Act of 1986. DMAS will reduce its payment for home and community based waiver services by the amount that remains after deducting the following amounts in the following order from the individual's income:~~

~~a. For individuals to whom §1924(d) applies, Virginia intends to waive the requirement for comparability pursuant to §1902(a)(10)(B) to allow for the following:~~

~~(1) An amount for the maintenance needs of the individual which is equal to the categorically needy income standard for a noninstitutionalized individual unless the individual is a working patient. Those individuals involved in a planned habilitation program carried out as a supported employment or prevocational or vocational training shall be allowed to retain an additional amount not to exceed the first \$75 of gross earnings each month and up to 50% of any additional gross earnings up to a maximum personal~~

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~~needs allowance of \$575 per month (149% of the SSI payment level for a family of one with no income).~~

~~(2) For an individual with only a spouse at home, the community spousal income allowance determined in accordance with §1924(d) of the Social Security Act, the same as that applied for the institutionalized patient.~~

~~(3) For an individual with a family at home, an additional amount for the maintenance needs of the family determined in accordance with §1924(d) of the Social Security Act, the same as that applied for the institutionalized patient.~~

~~(4) Amounts for incurred expenses for medical or remedial care that are not subject to payment by a third party including Medicare and other health insurance premiums, deductibles, or coinsurance charges and necessary medical or remedial care recognized under state law but covered under the Plan.~~

b. For all other individuals:

~~(1) An amount for the maintenance needs of the individual which is equal to the categorically needy income standard for a noninstitutionalized individual unless the individual is a working patient. Those individuals involved in a planned habilitation program carried out as a supported employment or prevocational or vocational training will be allowed to retain an additional amount not to exceed the first \$75 of gross earnings each month and up to 50% of any additional gross earnings up to a maximum personal needs allowance of \$575 per month (149% of the SSI payment level for a family of one with no income).~~

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~~(2) For an individual with a family at home, an additional amount for the maintenance needs of the family which shall be equal to the medically needy income standard for a family of the same size.~~

~~(3) Amounts for incurred expenses for medical or remedial care that are not subject to payment by a third party including Medicare and other health insurance premiums, deductibles, or coinsurance charges and necessary medical or remedial care recognized under state law but covered under the state Medical Assistance Plan.~~

~~4. The following four criteria shall apply to all mental retardation waiver services:~~

~~a. Individuals qualifying for mental retardation waiver services must have a demonstrated clinical need for the service resulting in significant functional limitations in major life activities. The need for the service must arise from (i) a diagnosed condition of mental retardation; (ii) a child younger than six years of age who is at developmental risk of significant functional limitations in major life activities; or (iii) a person with a related condition as defined in these regulations;~~

~~b. The Plan of Care and services which are delivered must be consistent with the Medicaid definition of each service;~~

~~c. Services must be approved by the case manager based on a current functional assessment using the Inventory for Client and Agency Planning (ICAP) or other DMHMRSAS approved assessment and demonstrated need for each specific service; and~~

~~d. Individuals qualifying for mental retardation waiver services must meet the ICF/MR level of care criteria.~~

~~D. Assessment and authorization of home and community based care services.~~

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~~1. The individual's need for home and community based care services shall be determined by the CSB case manager after completion of a comprehensive assessment of the individual's needs and available support. The case manager shall complete the assessment, determine whether the individual meets the intermediate care facility for the mentally retarded (ICF/MR) criteria and develop the Consumer Service Plan (CSP) with input from the recipient, family members, service providers and any other individuals involved in the individual's maintenance in the community.~~

~~2. An essential part of the case manager's assessment process shall be determining the level of care required by applying the existing DMAS ICF/MR criteria (12 VAC 30-130-430 et seq.).~~

~~3. The case manager shall gather relevant medical, social, and psychological data and identify all services received by the individual. Medical examinations shall be current, completed prior to the individual's entry to the waiver, no earlier than 12 months prior to beginning waiver services. Social assessments must have been completed within 12 months prior to beginning waiver services. Psychological evaluations or standardized developmental evaluations for children under the age of six years must reflect the current psychological status (diagnosis), current cognitive abilities, and current adaptive level of functioning of the individuals.~~

~~4. The case manager shall explore alternative settings to provide the care needed by the individual. Based on the individual's preference, preference of parents or guardian for minors, or preference of guardian or authorized representative for adults, and the assessment of needs, a plan of care shall be developed for the individual. For the case manager to make a recommendation for waiver services, community based care services must be determined to be an appropriate service alternative to delay, avoid placement in an ICF/MR, or promote exiting from either an ICF/MR placement or inappropriate nursing facility placement.~~

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~~5. Community based care waiver services may be recommended by the case manager only if:~~

~~a. The individual is Medicaid eligible as determined by the local office of the Department of Social Services;~~

~~b. The individual is either mentally retarded as defined in § 37.1-1 of the Code of Virginia, is a child under the age of six at developmental risk, or is a person with a related condition who would, in the absence of waiver services, require the level of care provided in an ICF/MR facility, the cost of which would be reimbursed under the Plan;~~

~~c. The individual requesting waiver services shall not receive such services while an inpatient of a nursing facility or hospital.~~

~~6. The case manager must submit the results of the comprehensive assessment and a recommendation to the DMHMRSAS staff for final determination of ICF/MR level of care and authorization for community based care services. DMHMRSAS authorization must be obtained prior to referral for service initiation and Medicaid reimbursement for waiver services. DMHMRSAS will communicate in writing to the case manager whether the recommended service plan has been approved or denied and, if approved, the amounts and type of services authorized.~~

~~7. All Consumer Service Plans are subject to approval by DMAS. DMAS is the single state authority responsible for the supervision of the administration of the community based care waiver. DMAS has contracted with DMHMRSAS for recommendation of preauthorization of waiver services and utilization review of those services.~~

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*Article 2.*

*Covered Services and Limitations and Related Provider Requirements.*

**12 VAC 30-120-221. Assistive technology.**

*A. Service description. Assistive technology (AT) is the specialized medical equipment and supplies including those devices, controls, or appliances, specified in the consumer service plan but not available under the State Plan for Medical Assistance, which enable individuals to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live. This service also includes items necessary for life support, ancillary supplies, and equipment necessary to the proper functioning of such items.*

*B. Criteria. In order to qualify for these services, the individual must have a demonstrated need for equipment or modification for remedial or direct medical benefit primarily in the individual's home, vehicle, community activity setting, or day program to specifically serve to improve the individual's personal functioning. This shall encompass those items not otherwise covered under the State Plan for Medical Assistance. AT shall be covered in the least expensive, most cost-effective manner.*

*C. Service units and service limitations. Assistive technology is available to individuals who are receiving at least one other waiver service and may be provided in a residential or nonresidential setting. A maximum limit of \$5,000 may be reimbursed per CSP year. Costs for assistive technology cannot be carried over from year to year and must be preauthorized each CSP year. AT shall not be approved for purposes of convenience of the caregiver or restraint of the individual. An independent professional consultation must be obtained from staff*

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*knowledgeable of that item for each AT request prior to approval by DMHMRSAS. All AT must be preauthorized by DMHMRSAS each CSP year. Any equipment/supplies/technology not available through a durable medical equipment provider may be purchased and billed to DMAS for Medicaid reimbursement as documented in the ISP, recommended by the case manager, and authorized by DMHMRSAS.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, assistive technology shall be provided by [a DMAS enrolled Durable Medical Equipment provider or a DMAS-enrolled CSB/BHA with a MR Waiver provider's provider agreement to provide assistive technology]~~having participation agreements with DMAS.~~*

*The provider documentation requirements are as follows:]*

*1. [The appropriate ISAR form, to be completed by the case manager, may serve as the ISP, provided it adequately documents the need for the service, the process to obtain this service (contacts with potential vendors or contractors, or both, of service, costs, etc.); and the time frame during which the service is to be provided. This includes a separate notation of evaluation or design, or both, labor, and supplies or materials, or both. The ISP/ISAR must include documentation of the reason that a Rehabilitation Engineer is needed, if one is to be involved. A Rehabilitation Engineer may be involved if disability expertise is required that a general contractor will not have. The ISAR must be submitted to DMHMRSAS for authorization to occur;]*

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2. [Written documentation regarding the process and results of ensuring that the item is not covered by the State Plan for Medical Assistance as durable medical equipment and supplies and that it is not available from a DME provider when purchased elsewhere;]
  
3. [Documentation of the recommendation for the item by a qualified professional;]
  
4. [Documentation of the date services are rendered and the amount of service needed;]
  
5. [Any other relevant information regarding the device or modification;]
  
6. [Documentation in the case management record of notification by the designated individual or individual's representative of satisfactory completion or receipt of the service or item; and]
  
7. [Instructions regarding any warranty, repairs, complaints, or servicing that may be needed.]

**12 VAC 30-120-223. Companion services (agency-directed model).**

A. *Service description. Companion services provide non-medical care, socialization, or support to an adult (age 18 or older). Companions may assist or support the individual with such tasks as meal preparation, community access[ and activities,] laundry and shopping, but do not perform these activities as discrete services. Companions may also perform light housekeeping tasks. This service is provided in accordance with a therapeutic goal in the CSP and is not purely diversional in nature.*

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*B. Criteria. In order to qualify for companion services, the individual shall have demonstrated a need for assistance with IADLs, light housekeeping, community access, medication self-administration or support to assure safety. The provision of companion services does not entail hands-on nursing care.*

*C. Service units and service limitations.*

*1. The unit of service for companion services is one hour and the amount that may be included in the ISP shall not exceed eight hours per 24-hour day. There is a limit of 8 hours per 24-hour day for ~~[agency-directed companion services, either agency or consumer-directed or combined. and consumer directed companion services, either as stand alone services or combined.]~~*

*2. A companion shall not be permitted to provide the care associated with ventilators, continuous tube feedings, or suctioning of airways.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, companion service providers must meet the following qualifications:*

*1. Companion services provider shall include DMHMRSAS-licensed residential services providers, DMHMRSAS-licensed supportive residential services providers, DMHMRSAS-licensed day support service providers, DMHMRSAS-licensed respite service providers, and DMAS-enrolled personal care/respite care providers.*

*2. Companion qualifications. Providers must employ staff to provide companion services who meet the following requirements:*

*a. Be at least 18 years of age;*

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*b. Possess basic reading, writing, and math skills;*

*c. Be capable of following an ISP with minimal supervision;*

*d. Submit to a criminal history record check. The companion will not be compensated for services provided to the individual if the records check verifies the companion has been convicted of crimes described in § 37.1-183.3 of the Code of Virginia;*

*e. Possess a valid Social Security number; and*

*f. Be capable of aiding in instrumental activities of daily living.*

*3. Companion service providers may not be the parents of individuals who are minors~~[; or]~~ the individual's spouse~~[; or the legally responsible relative of the individual]~~. Payment may not be made for services furnished by other Other family members living under the same roof as the individual being served [may not provide companion services] unless there is objective written documentation as to why there are no other providers available to provide the service. Companion services shall not be provided by adult foster care/family care providers or any other paid caregivers. This service shall not be provided in congregate settings by staff employed by the congregate provider.*

*4. Family members~~[ who are reimbursed to provide companion services]~~ must meet the companion qualifications.*

*5. Companions will be employees of providers that will have participation agreements with DMAS to provide companion services. Providers will be required to have a companion services supervisor to monitor companion services. The supervisor must have a bachelor's degree in a human services field and at least one year of experience working in the mental retardation field, or be an LPN or an RN with at least one year of experience working in the*

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*mental retardation field. An LPN or RN must have a current license or certification to practice nursing in the Commonwealth within his or her profession.*

*6. The provider must conduct an initial home visit prior to initiating companion services to document the efficacy and appropriateness of services and to establish an individual service plan for the individual. The provider must provide follow-up home visits to monitor the provision of services quarterly or as often as needed. ~~[A written quarterly review is required and must be sent to the case manager. The individual must be reassessed for services annually.]~~*

*7. Required documentation in the individual's record. The provider must maintain a record of each individual receiving companion services. At a minimum these records must contain:*

*a. An initial assessment completed prior to or on the date services are initiated and subsequent reassessments and changes to the supporting documentation;*

*b. The ISP goals, objectives, and activities. [ The ISP goals, objectives, and activities must be reviewed by the provider quarterly, annually, and more often as needed, modified as appropriate, and results of these reviews submitted to the case manager. For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual or family/caregiver. ] ~~The ISP must be reviewed at least annually by the provider, the individual receiving the services, and the case manager. In addition, the ISP must be reviewed by the provider quarterly, modified as appropriate and submitted to the case manager;~~*

*c. All correspondence to the individual, family/caregiver, case manager, DMAS, and DMHMRSAS;*

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*d. Contacts made with family/caregiver, physicians, formal and informal service providers, and all professionals concerning the individual;*

*[e. The Companion services supervisor must document in the individual's record in a summary note following significant contacts with the companion and quarterly home visits with the individual:]*

- 1. [Whether Companion services continue to be appropriate.]*
  
- 2. [Whether the plan is adequate to meet the individual's needs or changes are indicated in the plan.]*
  
- 3. [The individual's satisfaction with the service.]*
  
- 4. [The presence or absence of the companion during the supervisor's visit.]*

*[e.f. ] All companion records. The companion record must contain:*

- (1) The specific services delivered to the individual by the companion, dated the day of service delivery, and the individual's responses;*
  
  - (2) The companion's arrival and departure times;*
  
  - (3) The companion's weekly comments or observations about the individual to include observations of the individual's physical and emotional condition, daily activities, and responses to services rendered; and*
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*(4) The companion's and individual's or family/caregiver's weekly signatures recorded on the last day of service delivery for any given week to verify that companion services during that week have been rendered.*

*{fg.} A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain the completed DMAS-122 from the case manager.*

**12 VAC 30-120-225. Consumer-directed services: personal assistance, companion, and respite.**

**A. Service definition.**

*1. Consumer-directed personal [~~services~~—assistance services] is hands-on care of either a supportive or health-related nature[~~,—or both,~~] and may include, but is not limited to, assistance with activities of daily living, access to the community, monitoring of self-administration of medication or other medical needs, monitoring health status and physical condition, and work-related personal assistance [~~that will extend the ability of the personal assistant to provide assistance to the individual in the workplace.~~] When specified, such supportive services may include assistance with instrumental activities of daily living (IADLs). Personal assistance does not include either practical or professional nursing services or those practices regulated in Chapters 30 (§ 54.1-3000 et seq.) and 34 (§ 54.1-3400 et seq.) of Subtitle III of Title 54.1 of the Code of Virginia, as appropriate.*

*2. Consumer-directed respite services are specifically designed to provide temporary, periodic, or routine relief to the unpaid primary caregiver of an individual. Respite services include, but are not limited to, assistance with personal hygiene, nutritional support, and environmental support. This service may be provided in the individual's home or other community settings.*

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3. *Consumer-directed companion services provide ~~nonmedical care, socialization, and support to an adult (age 18 and older)~~ non-medical care, socialization, or support to an adult (age 18 or older). Companions may assist or support the individual with such tasks as meal preparation, community access and activities, laundry and shopping, but do not perform these activities as discrete services. Companions may also perform light housekeeping tasks. This service is provided in accordance with a therapeutic goal in the CSP and is not purely diversional in nature.*

4. *DMAS shall either provide for fiscal agent services or contract for the services of a fiscal agent for consumer-directed personal assistance services, consumer-directed companion services, and consumer-directed respite services. The fiscal agent will be reimbursed by DMAS to perform certain tasks as an agent for the individual/employer who is receiving consumer-directed services. The fiscal agent will handle responsibilities for the individual for employment taxes. The fiscal agent will seek and obtain all necessary authorizations and approvals of the Internal Revenue Services in order to fulfill all of these duties.*

5. *Individuals choosing consumer-directed services must receive support from a CD services facilitator. This is not a separate waiver service, but is required in conjunction with consumer-directed personal assistance, respite, or companion services. The CD Service Facilitator will be responsible for assessing the individual's particular needs for a requested CD service, assisting in the development of the ISP, providing training to the individual and family/caregiver on his responsibilities as an employer, and providing ongoing support of the consumer-directed services. The CD service facilitator cannot be the individual, the individual's case manager, direct service provider, spouse, or parent of the individual who is a minor child, or [a] family/caregiver employing the assistant/companion.*

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*B. Criteria.*

*1. In order to qualify for consumer-directed personal assistance services, the individual must demonstrate a need for personal assistance in activities of daily living, community access, self-administration of medication, or other medical needs, or monitoring health status or physical condition.*

*2. Consumer-directed respite services may only be offered to individuals who have an unpaid caregiver living in the home that requires temporary relief to avoid institutionalization of the individual. Respite services are designed to focus on the need of the unpaid caregiver for temporary relief and to help prevent the breakdown of the unpaid caregiver due to the physical burden and emotional stress of providing continuous support and care to the individual.*

*3. The inclusion of consumer-directed companion services in the CSP shall be appropriate when the individual has a demonstrated need for assistance with IADLs, community access [and activities,] self-administration of medication, or support to assure safety.*

*4. Individuals who are eligible for consumer-directed services must have the capability to hire and train their own personal assistants or companions and supervise the assistant's or companion's performance. If an individual is unable to direct his own care [or is under 18 years of age,] a family/caregiver may serve as the employer on behalf of the individual.*

*5. The individual, or if the individual is unable, then a family/caregiver, shall be the employer in this service, and therefore shall be responsible for hiring, training, supervising, and firing assistants and companions. Specific employer duties include checking of references of personal assistants/companions, determining that personal assistants/companions meet basic qualifications, training assistants/companions, supervising the assistant's/companion's*

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*performance, and submitting timesheets to the fiscal agent on a consistent and timely basis.*

*The individual or family/caregiver must have a back-up plan in case the assistant/ companion does not show up for work as expected or terminates employment without prior notice.*

*C. Service units and service limitations.*

*1. [The unit of service for consumer-directed respite services is one hour. ] Consumer-directed respite services are limited to a maximum of 720 hours per calendar year. Individuals who receive consumer-directed respite and agency-directed respite services may not receive more than 720 hours combined.*

*2. No more than two[ unrelated] individuals who live in the same home are permitted to share the authorized work hours of the assistant or companion.*

*[3. The unit of service for consumer-directed personal assistance services is one hour. Each individual must have a back-up plan in case the assistant does not show up for work as expected or terminates employment without prior notice. Consumer-directed personal assistance is not available to individuals who receive congregate residential services or live in assisted living facilities.]*

*~~[34. The unit of service for consumer-directed companion services is one hour.] -The amount of consumer-directed companion time must be included in the ISP. The amount of companion services included in the ISP may not exceed eight hours per 24-hour day. [There is a limit of 8 hours per 24-hour day for consumer-directed services, either as a stand alone service or combined with agency-directed services. There is a limit of 8 hours per 24-hour day for agency-directed and consumer directed companion services, either as stand alone services or combined.~~*

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~~]-A companion shall not be permitted to provide the care associated with ventilators,~~

~~[continuous] tube feedings, or suctioning of airways.~~

~~[4. For consumer-directed personal assistance, consumer-directed companion, and consumer-directed respite services, individuals or family/caregivers will hire their own personal assistants/companions and manage and supervise their performance. The assistant/companion must meet the following requirements:]~~

~~[a. Be 18 years of age or older;]~~

~~[b. Have the required skills to perform consumer-directed services as specified in the individual's supporting documentation;]~~

~~[c. Possess basic math, reading, and writing skills;]~~

~~[d. Possess a valid Social Security number;]~~

~~[e. Submit to a criminal records check and, if the individual is a minor, the child protective services registry review. The personal assistant/companion will not be compensated for services provided to the individual if either of these records checks verifies the personal assistant/companion has been convicted of crimes described in § 37.1-183.3 of the Code of Virginia or if the personal assistant/companion has a complaint confirmed by the DSS child protective services registry.]~~

~~[f. Be willing to attend training at the individual's or family/caregiver's request;]~~

~~[g. Understand and agree to comply with the DMAS MR waiver requirements; and]~~

~~[h. Receive periodic tuberculosis (TB) screening, cardiopulmonary resuscitation (CPR) training and an annual flu shot (unless medically contra-indicated).]~~

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~~{5. Assistants/companions may not be the parents of individuals who are minors, the individuals' spouses, or legally responsible relatives of the individuals. Payment may not be made for services furnished by other family/caregivers living under the same roof as the individual being served unless there is objective written documentation as to why there are no other providers available to provide the care. Companion services shall not be provided by adult foster care/family care providers or any other paid caregivers. This service shall not be provided in congregate settings by staff employed by the congregate provider.}~~

~~{6. Family members must meet the assistant/companion qualifications.}~~

~~{7. Upon the individual's request, the CD services facilitator shall provide the individual or family/caregiver with a list of persons who can provide temporary assistance until the assistant/companion returns or the individual is able to select and hire a new personal assistant/companion. If an individual is consistently unable to hire and retain the employment of an assistant/companion to provide consumer directed personal assistance, companion, or respite services, the CD services facilitator will make arrangements with the case manager to have the services transferred to an agency directed services provider.}~~

D. Provider qualifications. In addition to meeting the general conditions and requirements for home and community-based services participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, the CD services facilitator must meet the following qualifications:

1. To be enrolled as a Medicaid CD services facilitator and maintain provider status, the CD services facilitator shall have sufficient resources to perform the required activities. In addition, the CD services facilitator must have the ability to maintain and retain business and

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*professional records sufficient to document fully and accurately the nature, scope, and details of the services provided.*

*2. It is preferred that the CD services facilitator possess a minimum of an undergraduate degree in a human services field or be a registered nurse currently licensed to practice in the Commonwealth. In addition, it is preferable that the CD services facilitator have two years of satisfactory experience in a human service field working with persons with mental retardation. The facilitator must possess a combination of work experience and relevant education that indicates possession of the following knowledge, skills, and abilities. Such knowledge, skills, and abilities must be documented on the provider's application form, found in supporting documentation, or be observed during a job interview. Observations during the interview must be documented. The knowledge, skills, and abilities include:*

*a. Knowledge of:*

*(1) Types of functional limitations and health problems[ ~~that are common to~~ that may occur in persons with mental retardation, ~~[different disability types~~ or persons with other disabilities ], as well as strategies to reduce limitations and health problems;*

*(2) Physical assistance that may be required by people with mental retardation, such as transferring, bathing techniques, bowel and bladder care, and the approximate time those activities normally take;*

*(3) Equipment and environmental modifications that may be required by people with mental retardation that reduces the need for human help and[ ~~improves~~ improve] safety;*

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(4) *Various long-term care program requirements, including nursing home and ICF/MR placement criteria, Medicaid waiver services, and other federal, state, and local resources that provide personal assistance, respite, and companion services;*

(5) *MR waiver requirements, as well as the administrative duties for which the services facilitator will be responsible;*

(6) *Conducting assessments (including environmental, psychosocial, health, and functional factors) and their uses in service planning;*

(7) *Interviewing techniques;*

(8) *The individual's right to make decisions about, direct the provisions of, and control his consumer-directed personal assistance, companion, and respite services, including hiring, training, managing, approving time sheets, and firing an assistant/companion;*

(9) *The principles of human behavior and interpersonal relationships; and*

(10) *General principles of record documentation.*

*b. Skills in:*

(1) *Negotiating with individuals, family/caregivers, and service providers;*

(2) [~~Managing~~, Assessing, supporting,] *observing, recording, and reporting behaviors;*

(3) *Identifying, developing, or providing services to individuals with mental retardation;*  
*and*

(4) *Identifying services within the established services system to meet the individual's needs.*

*c. Abilities to:*

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*(1) Report findings of the assessment or onsite visit, either in writing or an alternative format for individuals who have visual impairments;*

*(2) Demonstrate a positive regard for individuals and their families;*

*(3) Be persistent and remain objective;*

*(4) Work independently, performing position duties under general supervision;*

*(5) Communicate effectively, orally and in writing; and*

*(6) Develop a rapport and communicate with persons of diverse cultural backgrounds.*

*3. If the CD services facilitator is not a RN, the CD services facilitator must [contact the primary health care provider to inform them that services are being provided and to request consultation as needed. have RN consulting services available, either by a staffing arrangement, a letter of agreement, or through a contracted consulting arrangement. The RN consultant is to be available as needed to consult with the individual and CD services facilitator on issues related to the health needs of the individual.]*

*4. Initiation of services and service monitoring.*

*a. For consumer-directed [~~personal assistance~~] services, the CD services facilitator must make an initial comprehensive home visit to collaborate with the individual and family/caregiver to identify the needs, assist in the development of the ISP with the individual or family/caregiver, and provide employee management training. [~~The CD services facilitator will continue to monitor the ISP quarterly and on an as-needed basis.]~~ The initial comprehensive home visit is done only once upon the individual's [~~initial~~] entry into the service. If a waiver individual changes CD services facilitators, the new CD services facilitator must [~~bill for complete~~] a reassessment [visit] in lieu of a comprehensive visit.*

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*b. ~~[For consumer directed respite and companion services, the CD services facilitator must make an initial comprehensive home visit to collaborate with the individual and family/caregiver to identify the needs, assist with the development of the ISP with the individual or family/caregiver, and provide employee management training. The initial comprehensive home visit is done only once upon the individual's initial entry into the service.] After the initial visit, the CD services facilitator will continue to monitor the companion or assistant ISP quarterly and on an as-needed basis. ~~The~~ The CD services facilitator will review the utilization of consumer-directed ~~[companion services quarterly or for]~~ respite services, either every six months or upon the use of 300 respite services hours, whichever comes first. ~~[If an individual changes CD services facilitators, the new CD services facilitator must bill for a reassessment in lieu of a comprehensive visit].~~~~*

*c. A face-to-face meeting with the individual must be conducted at least every six months to ensure appropriateness of any CD services received by the individual.*

*5. During visits ~~[to]~~with the individual's home individual, the CD services facilitator must observe, evaluate, and consult with the individual or family/caregiver, and document the adequacy and appropriateness of consumer-directed services with regard to the individual's current functioning and cognitive status, medical, and social needs. The CD services facilitator's written summary of the visit must include, but is not necessarily limited to:*

*a. Discussion with the individual or family/caregiver whether the service is adequate to meet the individual's needs;*

*b. Any suspected abuse, neglect, or exploitation ~~[suspected]~~ and who it was reported to;*

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*c. Any special tasks performed by the assistant/companion and the assistant's/companion's qualifications to perform these tasks;*

*d. Individual's or family/caregiver's satisfaction with the service;*

*e. Any hospitalization or change in medical condition, functioning, or cognitive status; and*

*f. The presence or absence of the assistant/companion in the home during the CD services facilitator's visit.*

*6. The CD services facilitator must be available to the individual by telephone.*

*7. The CD services facilitator must submit a criminal record check pertaining to the ~~personal~~ assistant/companion on behalf of the individual and report findings of the criminal record check to the individual or the family/caregiver and the program's fiscal agent. If the individual is a minor, the ~~personal~~ assistant/companion must also be screened through the DSS Child Protective Services [Central] Registry. ~~Personal assistants~~ Assistants/companions will not be reimbursed for services provided to the individual effective ~~with~~ the date that the criminal record check confirms ~~a personal~~ an assistant/companion has been found to have been convicted of a crime as described in § 37.1-183.3 of the Code of Virginia or if the ~~personal~~ assistant/companion has a confirmed record on the DSS Child Protective Services Registry. The criminal record check and DSS Child Protective Services Registry finding must be requested by the CD services facilitator prior to beginning CD services.*

*8. The CD services facilitator shall review timesheets during the face-to-face visits to ensure that the number of ISP-approved hours are not exceeded. If discrepancies are identified, the CD services facilitator must discuss these with the individual to resolve discrepancies and must notify the fiscal agent.*

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9. ~~The CD services facilitator must maintain a list of persons whose availability the facilitator is aware of~~ who are available] to provide consumer-directed personal assistance, consumer-directed companion, or consumer-directed respite services.

10. The CD services facilitator must maintain records of each individual. At a minimum these records must contain:

a. Results of the initial comprehensive home visit completed prior to or on the date services are initiated and subsequent reassessments and changes to the supporting documentation;

b. The ISP goals and activities. [The companion or personal assistance ISP goals, objectives, and activities must be reviewed by the provider quarterly, annually, and more often as needed, modified as appropriate, and results of these reviews submitted to the case manager. Respite ISP goals, objectives, and activities must be reviewed by the provider annually and every 6 months or when 300 service hours have been used. For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual; The ISP must be reviewed at least annually by the CD services facilitator, the individual and family/caregiver receiving the services, and the case manager. In addition, the ISP must be reviewed by the CD services facilitator quarterly, modified as appropriate, and submitted to the case manager;]

c. CD services facilitator's dated notes documenting any contacts with the individual, family/caregiver, and visits to the individual's home;

d. All correspondence to the individual, case manager, DMAS, and DMHMRSAS;

e. Records of contacts made with family/caregiver, physicians, formal and informal service providers, and all professionals concerning the individual;

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*f. All training provided to the assistants/companions on behalf of the individual or family/caregiver;*

*g. All employee management training provided to the individual or family/caregiver, including the individual's or family/caregiver's receipt of training on their responsibility for the accuracy of the assistant's/companion's timesheets;*

*h. All documents signed by the individual or the individual's family/caregiver that acknowledge the responsibilities as the employer; and*

*i. A copy of the most recently completed DMAS-122. The facilitator must clearly document efforts to obtain the completed DMAS-122 from the case manager.*

*[11. For consumer-directed personal assistance, consumer-directed companion, and consumer-directed respite services, individuals or family/caregivers will hire their own personal assistants/companions and manage and supervise their performance. The assistant/companion must meet the following requirements:]*

*[a. Be 18 years of age or older;]*

*[b. Have the required skills to perform consumer-directed services as specified in the individual's supporting documentation;]*

*[c. Possess basic math, reading, and writing skills;]*

*[d. Possess a valid Social Security number;]*

*[e. Submit to a criminal records check and, if the individual is a minor, consent to a search of the DSS Child Protective Services Central Registry ~~the child protective services registry review~~. The ~~personal~~ assistant/companion will not be compensated for services provided*

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*to the individual if either of these records checks verifies the ~~[personal]~~ assistant/companion has been convicted of crimes described in § 37.1-183.3 of the Code of Virginia or if the ~~[personal]~~ assistant/companion has a ~~[founded ]~~ complaint confirmed by the DSS ~~child protective services registry~~ Child Protective Services Central Registry;]*

*[f. Be willing to attend training at the individual's or family/ caregiver's request;]*

*[g. Understand and agree to comply with the DMAS MR waiver requirements; and]*

*[h. Receive periodic tuberculosis (TB) screening, cardiopulmonary resuscitation (CPR) training and an annual flu shot (unless medically contraindicated).]*

*[12. Assistants/companions may not be the parents of individuals who are minors or the individuals' spouses. Payment may not be made for services furnished by ~~[ertain]~~ other family/caregivers living under the same roof as the individual being served unless there is objective written documentation as to why there are no other providers available to provide the care. Companion services shall not be provided by adult foster care/family care providers or any other paid caregivers. This service shall not be provided in congregate settings by staff employed by the congregate provider.]*

*[13. Family members who are reimbursed to provide consumer-directed services must meet the assistant/companion qualifications.]*

*[14. Upon the individual's request, the CD services facilitator shall provide the individual or family/caregiver with a list of persons who can provide temporary assistance until the assistant/companion returns or the individual is able to select and hire a new personal assistant/companion. If an individual is consistently unable to hire and retain the employment of an assistant/companion to provide consumer-directed personal assistance, companion, or*

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*respite services, the CD services facilitator will make arrangements with the case manager to have the services transferred to an agency-directed services provider or to discuss with the individual or family/caregiver other service options].*

**12 VAC 30-120-227. Crisis stabilization services.**

*A. Crisis stabilization services involve direct interventions [which provide temporary intensive services and supports that avert emergency psychiatric hospitalization or institutional placement of ~~to~~ persons with mental retardation who are experiencing serious psychiatric or behavioral problems that jeopardize their current community living situation]. ~~by providing temporary intensive services and supports that avert emergency psychiatric hospitalization or institutional placement].~~ Crisis stabilization services will include, as appropriate, neuro-psychiatric, psychiatric, psychological, and other functional assessments and stabilization techniques, medication management and monitoring, behavior assessment and positive behavioral support, and intensive service coordination with other agencies and providers. This service ~~shall be~~ is designed to stabilize the individual and strengthen the current living situation, so that the individual remains in the community during and beyond the crisis period. These services shall be provided to:*

- 1. Assist with planning and delivery of services and supports to enable the individual to remain in the community;*
- 2. Train family/caregivers and service providers in positive behavioral supports to maintain the individual in the community; and*
- 3. Provide temporary crisis supervision to ensure the safety of the individual and others.*

**B. Criteria.**

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*1. In order to receive crisis stabilization services, the individual must meet at least one of the following criteria:*

- a. The individual is experiencing a marked reduction in psychiatric, adaptive, or behavioral functioning;*
- b. The individual is experiencing extreme increase in emotional distress;*
- c. The individual needs continuous intervention to maintain stability; or*
- d. The individual is causing harm to self or others.*

*2. The individual must be at risk of at least one of the following:*

- a. Psychiatric hospitalization;*
- b. Emergency ICF/MR placement;*
- c. Disruption of community status (living arrangement, day placement, or school); or*
- d. Causing harm to self or others.*

*C. Service units and service limitations. Crisis stabilization services may only be authorized following a documented face-to-face assessment conducted by a qualified mental retardation professional.*

*1. The unit for each component of the service is one hour. This service may only be authorized in 15-day increments but no more than 60 days in a calendar year may be used. The actual service units per episode shall be based on the documented clinical needs of the individual being served. Extension of services, beyond the 15-day limit per authorization, may only be authorized following a documented face-to-face reassessment conducted by a qualified mental retardation professional.*

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2. *Crisis stabilization services may be provided directly in the following settings (examples below are not exclusive):*

- a. The home of an individual who lives with family, friends, or other primary caregiver or caregivers;*
- b. The home of an individual who lives independently or semi-independently to augment any current services and supports;*
- c. A community-based residential program to augment current services and supports;*
- d. A day program or setting to augment current services and supports; or*
- e. A respite care setting to augment current services and supports.*

3. *Crisis supervision may be provided as a component of crisis stabilization only if clinical or behavioral interventions allowed under this service are also provided during the authorized period. Crisis supervision must be provided one-to-one and face-to-face with the individual. Crisis supervision, if provided as a part of this service, shall be separately billed in hourly service units.*

4. *Crisis stabilization services shall not be used for continuous long-term care. Room, board, and general supervision are not components of this service.*

5. *If appropriate, the assessment and any reassessments[-] shall be conducted jointly with a licensed mental health professional or other appropriate professional or professionals.*

*D. Provider requirements. In addition to the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, the following crisis stabilization provider qualifications apply:*

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1. *Crisis stabilization services shall be provided by providers licensed by DMHMRSAS as a provider of outpatient services, residential[, ] or supportive residential services, or day support services. The provider must employ or utilize qualified mental retardation professionals, licensed mental health professionals or other qualified personnel competent to provide crisis stabilization and related activities to individuals with mental retardation who are experiencing serious psychiatric or behavioral problems. The qualified mental retardation professional shall have: (i) at least one year of documented experience working directly with individuals who have mental retardation or developmental disabilities; (ii) a bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology; and (iii) the required Virginia or national license, registration, or certification in accordance with his profession;*

2. *To provide the crisis supervision component, agencies must be licensed by DMHMRSAS as providers of residential services, supportive residential services, or day support services;*

3. *Required documentation in the individual's record. The provider must maintain a record regarding each individual receiving crisis stabilization services. At a minimum, the record must contain the following:*

a. *Documentation of the face-to-face assessment and any reassessments completed by a qualified mental retardation professional;*

b. *An ISP which contains, at a minimum, the following elements:*

(1) *The individual's strengths, desired outcomes, required or desired supports[; ~~and~~ training needs];*

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(2) *The individual's goals~~[and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;]~~*

(3) *Services to be rendered and the frequency of services to accomplish the above goals and objectives;*

(4) *A timetable for the accomplishment of the individual's goals and objectives;*

(5) *The estimated duration of the individual's needs for services; and*

(6) *The provider staff responsible for the overall coordination and integration of the services specified in the ISP~~;~~*

*c. An ISP must be developed or revised and submitted to the case manager for submission to DMHMRSAS within 72 hours of assessment or reassessment;*

*d. Documentation indicating the dates and times of crisis stabilization services, the amount and type of service or services provided, and specific information regarding the individual's response to the services and supports as agreed to in the ISP objectives; and*

*e. Documentation of qualifications of providers must be maintained for review by DMHMRSAS and DMAS staff.*

**12 VAC 30-120-229. Day support services.**

*A. Service description. Day support services shall include a variety of training,~~[ personal assistance],~~ support, and specialized supervision [for the acquisition, retention, or improvement of self-help, socialization, and adaptive skills. These services are] typically offered in a nonresidential setting that allows peer interactions and community and social integration.*

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*B. Criteria. For day support services, individuals must demonstrate the need for functional training, assistance, and specialized supervision offered primarily in settings other than the individual's own residence that allows an opportunity for being productive and contributing members of communities.*

*C. Levels of day support. The amount and type of day support included in the individual's service plan is determined according to the services required for that individual. There are two types of day support: center-based, which is provided [~~partly or entirely~~ primarily] at one location/building, or non-center-based, which is provided [~~entirely~~ primarily] in community settings. Both types of day support may be provided at either intensive or regular levels.*

*D. [Intensive level criteria.] To be authorized at the intensive level, the individual must meet at least one of the following criteria: (i) requires physical assistance to meet the basic personal care needs (toileting, feeding, etc); (ii) [~~have~~ has] extensive disability-related difficulties and [~~require~~ requires] additional, ongoing support to fully participate in programming and to accomplish his service goals; or (iii) [~~the individual~~] requires extensive constant supervision to reduce or eliminate behaviors that preclude full participation in the program. In this case, written behavioral objectives are required to address behaviors such as, but not limited to, withdrawal, self-injury, aggression, or self-stimulation.*

*E. Service units and service limitations. ~~[Day support services are billed in units.]~~ Day support cannot be regularly or temporarily provided in an individual's home or other residential setting (e.g., due to inclement weather or individual illness) without prior written approval from DMHMRSAS. Non-center-based day support services must be separate and distinguishable from either residential support services or personal assistance services. There must be separate supporting documentation for each service and each must be clearly differentiated in*

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*documentation and corresponding billing. The supporting documentation must provide an estimate of the amount of day support required by the individual. Service providers are reimbursed only for the amount and type of day support services included in the individual's approved ISP based on the setting, intensity, and duration of the service to be delivered. This service, either as a stand-alone service or in combination with prevocational and supported employment services shall be limited to 780 units per CSP year.*

*F. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based—participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, day support providers need to meet additional requirements.*

*1. The provider of day support services must be licensed by DMHMRSAS as a provider of day support services. Day support staff must also have training in the characteristics of mental retardation and appropriate interventions, training strategies, and support methods for persons with mental retardation and functional limitations.*

*2. A functional assessment must be conducted by the provider to evaluate each individual in the day support environment and community settings.*

*3. An ISP must be developed which contains, at a minimum, the following elements:*

*a. The individual's strengths, desired outcomes, required or desired supports and training needs;*

*b. The individual's goals and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;*

*c. Services to be rendered and the frequency of services to accomplish the above goals and objectives;*

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*d. A timetable for the accomplishment of the individual's goals and objectives[ as appropriate;]*

*e. The estimated duration of the individual's needs for services; and*

*f. The provider staff responsible for the overall coordination and integration of the services specified in the ISP.*

*4. Documentation must confirm the individual's attendance and amount of time in services and provide specific information regarding the individual's response to various settings and supports as agreed to in the ISP objectives.*

*a. The ISP goals, objectives, and activities must be reviewed by the provider [quarterly, annually, ~~or and~~ more often as needed with the individual receiving the services for their family/caregiver, and ~~this~~ the results of the review submitted to the case manager. ~~In addition, the ISP goals, objectives, and activities must be reviewed by the provider quarterly, modified as appropriate and submitted to the case manager.~~ For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual or family/caregiver.*

*b. An attendance log or similar document must be maintained that indicates the date, type of services rendered, and the number of hours and units provided;*

*c. Documentation must indicate whether the services were center-based or non-center-based.*

*d. In instances where [day support] staff are required to ride with the individual to and from day support~~activities,~~ the day support staff time can be billed as day support, provided that the billing for this time does not exceed 25% of the total time spent in the day support activity for that day. Documentation must be maintained to verify that billing for [day support] staff*

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*coverage during transportation does not exceed 25% of the total time spent in the day support [activity] for that day.*

*e. If intensive day support services are requested, documentation must be present in the individual's record to indicate the specific supports and the reasons they are needed. For ongoing intensive day support services, there must be clear documentation of the ongoing needs and associated staff supports.*

*f. Copy of the most recently completed DMAS-122 form. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.*

**12 VAC 30-120-230. ~~General conditions and requirements for all home and community-based care participating providers. (Repealed.)~~**

~~A. General requirements. Providers approved for participation shall, at a minimum, perform the following:~~

- ~~1. Immediately notify DMAS in writing of any change in the information which the provider previously submitted to DMAS.~~
  - ~~2. Assure freedom of choice to recipients in seeking medical care from any institution, pharmacy, practitioner, or other provider qualified to perform the services required and participating in the Medicaid Program at the time the service was performed.~~
  - ~~3. Assure the recipient's freedom to refuse medical care and treatment.~~
  - ~~4. Accept referrals for services only when staff is available to initiate services.~~
  - ~~5. Provide services and supplies to recipients in full compliance with Title VI of the Civil Rights Act of 1964 which prohibits discrimination on the grounds of race, color, religion, or~~
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~~national origin and of Section 504 of the Rehabilitation Act of 1973 which prohibits discrimination on the basis of a handicap and both the Virginians with Disabilities Act and the Americans with Disabilities Act.~~

~~6. Provide services and supplies to recipients in the same quality and mode of delivery as provided to the general public.~~

~~7. Charge DMAS for the provision of services and supplies to recipients in amounts not to exceed the provider's usual and customary charges to the general public.~~

~~8. Accept Medicaid payment from the first day of the recipient's eligibility.~~

~~9. Accept as payment in full the amount established by DMAS.~~

~~10. Use program designated billing forms for submission of charges.~~

~~11. Maintain and retain business and professional records sufficient to document fully and accurately the nature, scope, and details of the services provided.~~

~~a. Such records shall be retained for at least five years from the last date of service or as provided by applicable state laws, whichever period is longer. If an audit is initiated within the required retention period, the records shall be retained until the audit is completed and every exception resolved. Records of minors shall be kept for at least five years after such minor has reached the age of 18 years.~~

~~b. Policies regarding retention of records shall apply even if the agency discontinues operation. DMAS shall be notified in writing of the storage location and procedures for obtaining records for review should the need arise. The location, agent, or trustee shall be within the Commonwealth of Virginia.~~

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~~12. Furnish to authorized state and federal personnel, in the form and manner requested, access to records and facilities.~~

~~13. Disclose, as requested by DMAS, all financial, beneficial, ownership, equity, surety, or other interests in any and all firms, corporations, partnerships, associations, business enterprises, joint ventures, agencies, institutions, or other legal entities providing any form of health care services to recipients of Medicaid.~~

~~14. Hold confidential and use for authorized DMAS or DMHMRSAS purposes only all medical assistance information regarding recipients.~~

~~15. When ownership of the provider agency changes, DMAS shall be notified within 15 calendar days of such change.~~

~~B. Requests for participation. DMAS will screen requests to determine whether the provider applicant meets the following basic requirements for participation.~~

~~C. Provider participation standards. For DMAS to approve contracts with home and community-based care providers the following standards shall be met:~~

~~1. The provider must have the ability to serve individuals in need of waiver services regardless of the individual's ability to pay or eligibility for Medicaid reimbursement.~~

~~2. The provider must have the administrative and financial management capacity to meet state and federal requirements.~~

~~3. The provider must have the ability to document and maintain individual case records in accordance with state and federal requirements.~~

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~~4. The provider of residential and day support services must be licensed by DMHMRSAS as a provider of residential services, supportive residential services, or day support services. These licensing requirements address standards for personnel, residential and day program environments, and program and service content. They must also have training in the characteristics of mental retardation and appropriate interventions, training strategies, and support methods for persons with mental retardation and functional limitations. Residential support services may also be provided in programs licensed by DSS (adult care residences) or in adult foster care homes approved by local DSS offices pursuant to state DSS regulations. In addition to licensing requirements, persons providing residential support services are required to pass an objective, standardized test of skills, knowledge and abilities developed by DMHMRSAS and administered according to DMHMRSAS policies.~~

~~5. Supported employment or prevocational training services shall be provided by agencies that are either licensed by DMHMRSAS as a day support service or are vendors of extended employment services, long-term employment support services or supportive employment services for DRS.~~

~~6. Services provided by members of professional disciplines shall meet all applicable state licensure or certification requirements. Persons providing behavior consultation shall be certified by DMHMRSAS based on the individual's work experience, education and demonstrated knowledge, skills, and abilities. Persons providing rehabilitation engineering shall be contracted with DRS.~~

~~7. All facilities covered by § 1616(e) of the Social Security Act in which home and community-based care services will be provided shall be in compliance with applicable standards that meet the requirements of 45 CFR Part 1397 for board and care facilities. Health~~

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~~and safety standards shall be monitored through the DMHMRSAS's licensure standards, 12~~

~~VAC 35-102-10 et seq. or through DSS licensure standards 22 VAC 40-70-10 et seq.~~

~~8. Personal assistance services shall be provided by a DMAS certified personal care provider whose staff has passed the DMHMRSAS objective standardized test for residential support services, or by a DMHMRSAS licensed residential support provider.~~

~~9. Respite care services shall be provided by a DMAS certified personal care provider; a DMHMRSAS licensed supportive residential provider, respite care services provider (center based or out of home) or in home respite care provider; an approved DSS foster care home for children or adult foster home provider; or be registered with the CSB as an individual provider of respite care as defined in 12 VAC 35-102-10.~~

~~10. Nursing services shall be provided by a DMAS certified private duty nursing or home health provider or by a licensed registered nurse or licensed practical nurse contracted or employed by the CSB.~~

~~11. Environmental modifications shall be provided in accordance with all applicable state or local building codes by contractors of the CSB or DRS who shall be reimbursed for the amount charged by said contractors.~~

~~12. Assistive technology shall be provided by agencies under contract with DMAS as a durable medical equipment and supply provider. Any equipment/supplies/technology not available through a durable medical equipment provider may be purchased and billed to DMAS for Medicaid reimbursement as documented in the Plan of Care, approved by the case manager, and monitored by DMHMRSAS.~~

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~~13. Crisis stabilization services shall be provided by agencies licensed by DMHMRSAS as a provider of outpatient services or residential or supportive residential services or day support services. To provide the crisis supervision component, agencies must be licensed by DMHMRSAS as providers of residential services or supportive residential services. The provider agency must employ or utilize qualified mental retardation professionals, licensed mental health professionals or other qualified personnel competent to provide crisis stabilization and related activities to individuals with mental retardation who are experiencing serious psychiatric or behavioral problems. The qualified mental retardation professional shall have (i) at least one year of documented experience working directly with individuals who have mental retardation or developmental disabilities; (ii) a bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology; and (iii) the required Virginia or national license, registration, or certification in accordance with his profession.~~

~~D. Adherence to provider contract and DMAS provider service manual. In addition to compliance with the general conditions and requirements, all providers enrolled by DMAS shall adhere to the conditions of participation outlined in their individual provider contracts and in the DMAS provider service manual.~~

~~E. Recipient choice of provider agencies. The waiver recipient shall be informed of all available providers in the community and shall have the option of selecting the provider agency of his choice from among those agencies which can appropriately meet the individual's needs.~~

~~F. Termination of provider participation. DMAS may administratively terminate a provider from participation upon 60 days' written notification. DMAS may also cancel a contract immediately or may give such notification in the event of a breach of the contract by the provider as specified~~

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~~in the DMAS contract. Such action precludes further payment by DMAS for services provided recipients subsequent to the date specified in the termination notice.~~

~~G. Reconsideration of adverse actions. Adverse actions may include, but are not limited to, disallowed payment of claims for services rendered which are not in accordance with DMAS policies and procedures, contract limitation or termination. The following procedures shall be available to all providers when DMAS takes adverse action which includes termination or suspension of the provider agreement.~~

~~1. The reconsideration process shall consist of three phases:~~

~~a. A written response and reconsideration of the preliminary findings.~~

~~b. The informal conference.~~

~~c. The formal evidentiary hearing.~~

~~2. The provider shall have 30 days to submit information for written reconsideration, 15 days from the date of the notice to request the informal conference, and 15 days from the date of the notice to request the formal evidentiary hearing.~~

~~3. An appeal of adverse actions shall be heard in accordance with the Administrative Process Act (§ 9-6.14:1 et seq. of the Code of Virginia) and the State Plan for Medical Assistance provided for in § 32.1-325 of the Code of Virginia. Court review of the final agency determination shall be made in accordance with the Administrative Process Act.~~

~~H. Responsibility for sharing recipient information. It shall be the responsibility of the case management provider to notify DMHMRSAS and DSS, in writing, when any of the following circumstances occur. Furthermore, it shall be the responsibility of DMHMRSAS to update DMAS when any of the following events occur:~~

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~~1. Home and community based care services are implemented.~~

~~2. A recipient dies.~~

~~3. A recipient is discharged or terminated from services.~~

~~4. Any other circumstances (including hospitalization) which cause home and community based care services to cease or be interrupted for more than 30 days.~~

~~I. Changes or termination of care. It is the DMHMRSAS staff's responsibility to authorize any changes to a recipient's CSP based on the recommendation of the case management provider.~~

~~1. Agencies providing direct service are responsible for modifying their individual service plan and submitting it to the case manager any time there is a change in the recipient's condition or circumstances which may warrant a change in the amount or type of service rendered.~~

~~2. The case manager will review the need for a change and may recommend a change to the plan of care to the DMHMRSAS staff.~~

~~3. The DMHMRSAS staff will approve or deny the requested change to the recipient's plan of care and communicate this authorization to the case manager within 10 days of receipt of the request for change or in the case of an emergency, within 72 hours of receipt of the request for change.~~

~~4. The case manager will communicate in writing the authorized change in the recipient's plan of care to the individual service provider and the recipient, in writing, providing the recipient with the right to appeal the decision pursuant to DMAS Client Appeals Regulations (12 VAC 30-110-10 et seq.).~~

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~~5. Nonemergency termination of home and community based care services by the individual service provider. The individual service provider shall give the recipient and/or family and case manager 10 days written notification of the intent to terminate services. The letter shall provide the reasons for and effective date of the termination. The effective date of services termination shall be at least 10 days from the date of the termination notification letter.~~

~~6. Emergency termination of home and community based care services by the individual services provider. In an emergency situation when the health and safety of the recipient or provider agency personnel is endangered, the case manager and DMHMRSAS staff must be notified prior to termination. The 10 day written notification to the individual shall not be required.~~

~~7. Termination of home and community based care services for a recipient by the DMHMRSAS staff. The effective date of termination shall be at least 10 days from the date of the termination notification letter. The case manager has the responsibility to identify those recipients who no longer meet the criteria for care or for whom home and community based services are no longer an appropriate alternative. The DMHMRSAS staff has the authority to terminate home and community based care services.~~

~~J. Suspected abuse or neglect. Pursuant to § 63.1-55.3 of the Code of Virginia, if a participating provider agency knows or suspects that a home and community based care recipient is being abused, neglected, or exploited, the party having knowledge or suspicion of the abuse/neglect/exploitation shall report this to the local DSS.~~

~~K. DMAS monitoring. DMAS is responsible for assuring continued adherence to provider participation standards. DMAS shall conduct ongoing monitoring of compliance with provider~~

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~~participation standards and DMAS policies and periodically recertify each provider for contract renewal with DMAS to provide home and community based services. A provider's noncompliance with DMAS policies and procedures, as required in the provider's contract, may result in a written request from DMAS for a corrective action plan which details the steps the provider will take and the length of time required to achieve full compliance with deficiencies which have been cited.~~

***12 VAC 30-120-231. Environmental modifications.***

*A. Service description. Environmental modifications shall be defined as those physical adaptations to the home or vehicle required by the individual's CSP, that are necessary to ensure the health, welfare, and safety of the individual, or which enable the individual to function with greater independence and without which the individual would require institutionalization. Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the individual. All services shall be provided in the individual's home in accordance with applicable federal, state, and local building codes and laws. Modifications can be made to an automotive vehicle if it is the primary vehicle being used by the individual.*

*B. Criteria. In order to qualify for these services, the individual must have a demonstrated need for equipment or modifications of a remedial or medical benefit offered in an individual's home, or vehicle to specifically improve the individual's personal functioning. This service shall encompass those items not otherwise covered in the State Plan for Medical Assistance or through another program.*

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*C. Service units and service limitations. Environmental modifications shall be available to individuals who are receiving at least one other waiver service in addition to targeted mental retardation case management. A maximum limit of \$5,000 may be reimbursed per CSP year. Costs for environmental modifications shall not be carried over from CSP year to CSP year and must be prior authorized by DMHMRSAS for each CSP year. Modifications may not be used to bring a substandard dwelling up to minimum habitation standards. Excluded are those adaptations or improvements to the home that are of general utility, such as carpeting, roof repairs, central air conditioning, etc., and are not of direct medical or remedial benefit to the individual. Also excluded are modifications that are reasonable accommodation requirements of the Americans with Disabilities Act[, the Virginians with Disabilities Act, and the Rehabilitation Act.] Adaptations that add to the total square footage of the home shall be excluded from this service.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, environmental modifications must be provided in accordance with all applicable federal, state or local building codes and laws by contractors of the CSB/BHA or providers who have a participation agreement with DMAS who shall be reimbursed for the amount charged by said contractors. The following are provider documentation requirements:*

*~~{1. Documentation that the modifications are needed by the individual;}~~*

*{2.} An ISP that documents the need for the service, the process to obtain the service, and the time frame during which the services are to be provided. The ISP must include documentation of the reason that a rehabilitation engineer or specialist is needed, if one is to be involved;*

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~~{32.}~~ *Documentation of the time frame involved to complete the modification and the amount of services and supplies;*

~~{43.}~~ *Any other relevant information regarding the modification;*

~~{54.}~~ *Documentation of notification by the individual or family/caregiver of satisfactory completion of the service; and*

~~{65.}~~ *Instructions regarding any warranty, repairs, complaints, and servicing that may be needed.*

**12 VAC 30-120-233. Personal assistance services (agency-directed model).**

*A. Service description. Personal assistance services are provided to individuals in the areas of activities of daily living, [ instrumental activities of daily living,] access to the community, monitoring of self-administered medications or other medical needs, and the monitoring of health status and physical condition. It may be provided in home and community settings to enable an individual to maintain the health status and functional skills necessary to live in the community or participate in community activities.*

*B. Criteria. In order to qualify for these services, the individual must demonstrate a need for assistance with activities of daily living, self-administration of medications or other medical needs, or monitoring of health status or physical condition.*

*C. Service units and service limitations. The unit of service for personal assistance services is one hour. Each individual must have a back-up plan in case the personal assistant does not show up for work as expected or terminates employment without prior notice. Personal assistance is not available [to individuals:] ~~(i) to individuals~~ who receive residential services or live in assisted living facilities; (ii) who would benefit from personal assistance training and skill*

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development; or (iii) who receive [comparable] services provided through another program or service.

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, personal assistance providers must meet additional provider requirements.*

*1. Personal assistance services shall be provided by an enrolled DMAS personal care/respice care provider or by a DMHMRSAS-licensed residential support provider. All personal assistants must pass the DMHMRSAS objective standardized test of skills, knowledge, and abilities developed by DMHMRSAS and administered according to DMHMRSAS policies[.]; For DMHMRSAS-licensed residential support providers, a residential supervisor will provide ongoing supervision of all personal assistants.]*

*2. For DMAS-enrolled personal care/respice care providers, the personal assistance provider must employ or subcontract with and directly supervise a RN or an LPN who will provide ongoing supervision of all personal assistants. The supervising RN or LPN must be currently licensed to practice nursing in the Commonwealth and have at least two years of related clinical nursing experience that may include work in an acute care hospital, public health clinic, home health agency, ICF/MR or nursing facility.[ ~~For DMHMRSAS-licensed providers, a residential supervisor will provide ongoing supervision of all personal assistants.]~~*

*a. The supervisor must make a home visit to conduct an initial assessment prior to the start of services for all individuals[ ~~newly admitted to~~ requesting ]personal assistance services. The supervisor must also perform any subsequent reassessments or changes to the supporting documentation.*

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*b. The supervisor must make supervisory home visits as often as needed to ensure both quality and appropriateness of services. The minimum frequency of these visits is every 30 to 90 days depending on the individual's needs.*

*c. Based on continuing evaluations of the assistant's performance and individual's needs, the supervisor shall identify any gaps in the assistant's ability to function competently and shall provide training as indicated.*

~~*d. The supervisor's written summary of the supervision visits must note the following:}*~~

~~*{(1) The supervising RN and LPN must be currently licensed to practice nursing in the Commonwealth and have at least two years of related clinical nursing experience that may include work in an acute care hospital, public health clinic, home health agency, ICF/MR or nursing facility.}*~~

~~*{(2) The supervisor must make an initial assessment comprehensive home visit prior to the start of services for all new individuals admitted to personal assistance. The supervisor must also perform any subsequent reassessments or changes to the supporting documentation.}*~~

~~*{(3) The supervisor must make supervisory visits as often as needed to ensure both quality and appropriateness of services. The minimum frequency of these visits is every 30 to 90 days depending on the individual's needs.}*~~

~~*{(4) Based on continuing evaluations of the assistant's performance and the individual's needs, the supervisor shall identify any gaps in the assistant's ability to function competently and shall provide training as indicated.}*~~

~~*{(5) The written summary of the supervision visits must note:}*~~

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~~[(a) Whether personal assistance services continue to be appropriate;]~~

~~[(b) Whether the ISP is adequate to meet the need or if changes are indicated in the ISP;]~~

~~[(c) Any special tasks performed by the assistant and the assistant's qualifications to perform these tasks;]~~

~~[(d) The individual's satisfaction with the service;]~~

~~[(e) Any hospitalization or change in medical condition or functioning status;]~~

~~[(f) Other services received and their amount; and]~~

~~[(g) The presence or absence of the assistant in the home during the supervisor's visit.]~~

[de.] The personal assistance provider must employ and directly supervise personal assistants who will provide direct service to individuals receiving personal assistance. Each assistant hired by the provider shall be evaluated by the provider to ensure compliance with minimum qualifications as required by the DMAS. Each assistant must:

(1) Be 18 years of age or older;

(2) Be able to read and write [English to the degree necessary to perform the tasks expected;]

(3) Complete a training curriculum consistent with DMAS requirements. Prior to assigning an assistant to an individual, the provider must obtain documentation that the assistant has satisfactorily completed a training program consistent with DMAS requirements. DMAS requirements may be met in one of three ways;

(a) Registration as a certified nurse aide;

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*(b) Graduation from an approved educational curriculum that offers certificates qualifying the student as a nursing assistant, geriatric assistance, or home health aide;*

*(c) Completion of provider-offered training, which is consistent with the basic course outline approved by DMAS;*

*(4) Be physically able to do the work;*

*(5) Have a satisfactory work record, as evidenced by two references from prior job experiences, including no evidence of possible abuse, neglect, or exploitation of aged or incapacitated adults or children; and*

*[~~3.6~~] Personal assistants may not be the parents of individuals who are minors, [or] the individuals' spouses [~~, or legally responsible relatives of the individuals.~~] Payment may not be made for services furnished by other family members living under the same roof as the individual receiving services unless there is objective written documentation as to why there are no other providers available to provide the service. [Family members who are approved to be reimbursed for providing this service must meet the personal assistant qualifications.]*

*~~[(7) These family members who are approved to be reimbursed for providing this service must meet the personal assistant qualifications.]~~*

*~~34.] Provider inability to render services and substitution of assistants.~~*

*a. When a personal assistant is absent [~~and the provider has no other assistant available to provide services,~~] the provider is responsible for ensuring that services continue to be provided to individuals. The provider may either [provide another assistant,] obtain a substitute assistant from another provider, if the lapse in coverage is to be less than two weeks in duration, or transfer the individual's services to another provider. The personal*

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*assistance provider that has the authorization to provide services to the individual must contact the case manager to determine if additional preauthorization is necessary.*

*b. If no other provider is available who can supply a substitute assistant, the provider shall notify the individual, family/caregiver and case manager so that the case manager may find another available provider [of the individual's choice.]*

*c. During temporary, short-term lapses in coverage not to exceed two weeks in duration, the following procedures must apply:*

*(1) The preauthorized personal assistance provider must provide the supervision for the substitute assistant;*

*(2) The provider of the substitute assistant must send a copy of the assistant's daily documentation signed by the individual [or family/caregiver on his behalf] and the assistant to the personal assistance provider having the authorization; and*

*(3) The preauthorized provider must bill DMAS for services rendered by the substitute assistant.*

*d. If a provider secures a substitute assistant, the provider agency is responsible for ensuring that all DMAS requirements continue to be met including documentation of services rendered by the substitute assistant and documentation that the substitute assistant's qualifications meet DMAS' requirements. [The two providers involved are responsible for negotiating the financial arrangements of paying the substitute assistant.]*

*45. Required documentation in the individual's record. The provider must maintain records regarding each ~~personal assistance~~ individual [receiving personal assistance.] At a minimum these records must contain:*

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a. An initial assessment [completed] by the supervisor ~~[completed]~~ prior to or on the date services are initiated;

b. An ISP, that contains, at a minimum, the following elements:

(1) The individual's strengths, desired outcomes, required or desired supports~~[ and training needs;]~~

(2) The individual's goals~~[ and, for a training goal, a sequence of measurable and ]~~ objectives to meet the above identified outcomes;

(3) Services to be rendered and the frequency of services to accomplish the above goals and objectives; [and]

~~[(4) A timetable for the accomplishment of the individual's goals and objectives;]~~

~~[(5) The estimated duration of the individual's needs for services; and]~~

~~[(6)]~~ The provider staff responsible for the overall coordination and integration of the services specified in the ISP.

c. The ISP goals, objectives, and activities must be reviewed by the provider~~[ quarterly, annually, [or and] more often as needed with the individual receiving the services, modified as appropriate]~~ and ~~[this results of these review reviews ]~~ submitted to the case manager.

[For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual. In addition, the ISP goals, objectives, and activities must be reviewed by the provider quarterly, modified as appropriate and the results of the review submitted to the case manager;]

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*d. Dated notes of any contacts with the personal assistant[, individual and family/caregiver and] during supervisory visits to the individual's home[;]. The written summary of the supervision visits must include:*

- 1. [Whether personal assistance services continue to be appropriate;]*
- 2. [Whether the ISP is adequate to meet the need or if changes are indicated in the ISP;]*
- 3. [Any special tasks performed by the assistant and the assistant's qualifications to perform these tasks;]*
- 4. [The individual's satisfaction with the service;]*
- 5. [Any hospitalization or change in medical condition or functioning status;]*
- 6. [Other services received and their amount; and]*
- 7. [The presence or absence of the assistant in the home during the supervisor's visit.]*

*e. All correspondence to the individual, family/caregiver, case manager, DMAS, and DMHMRSAS;*

*f. Reassessments and any changes to supporting documentation made during the provision of services;*

*g. Contacts made with family/caregivers, physicians, formal and informal service providers, and all professionals concerning the individual;*

*h. All personal assistant records. The personal assistant record must contain:*

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(1) *The specific services delivered to the individual by the assistant, dated the day of service delivery, and the individual's responses;*

(2) *The assistant's arrival and departure times;*

(3) *The assistant's weekly comments or observations about the individual to include observations of the individual's physical and emotional condition, daily activities, and responses to services rendered; and*

(4) *The assistant's and individual's or family/caregiver's weekly signatures recorded on the last day of service delivery for any given week to verify that personal assistance services during that week have been rendered.*

*i. Copy of the most recently completed DMAS-122 form. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.*

***12 VAC 30-120-235. Personal Emergency Response System (PERS).***

*A. Service description. PERS is a service which monitors individual safety in the home and provides access to emergency assistance for medical or environmental emergencies through the provision of a two-way voice communication system that dials a 24-hour response or monitoring center upon activation and via the individual's home telephone line. PERS may also include medication monitoring devices.*

*B. Criteria. PERS can be authorized when there is no one else in the home who is competent or continuously available to call for help in an emergency.*

*C. Service units and service limitations.*

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1. A unit of service shall include administrative costs, time, labor, and supplies associated with the installation, maintenance,~~[-and]~~ monitoring[, and adjustments] of the PERS. A unit of service is the one-month rental price set by DMAS. The one-time installation of the unit includes installation, account activation, individual and caregiver instruction, and removal of PERS equipment.

2. PERS services must be capable of being activated by a remote wireless device and be connected to the individual's telephone line. The PERS console unit must provide hands-free voice-to-voice communication with the response center. The activating device must be waterproof, automatically transmit to the response center an activator low battery alert signal prior to the battery losing power, and be able to be worn by the individual.

D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, PERS providers must also meet the following qualifications:

1. A PERS provider is a personal assistance agency, a durable medical equipment provider, a hospital, a licensed home health provider, or a PERS manufacturer that has the ability to provide PERS equipment, direct services (i.e. installation, equipment maintenance and service calls), and PERS monitoring.

2. The PERS provider must provide an emergency response center with fully trained operators who are capable of receiving signals for help from an individual's PERS equipment 24-hours a day, 365, or 366, days per year as appropriate, of determining whether an emergency exists, and of notifying an emergency response organization or an emergency responder that the PERS individual needs emergency help.

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3. A PERS provider must comply with all applicable Virginia statutes, applicable regulations of DMAS, and all other governmental agencies having jurisdiction over the services to be performed.

4. The PERS provider has the primary responsibility to furnish, install, maintain, test, and service the PERS equipment, as required, to keep it fully operational. The provider shall replace or repair the PERS device within 24 hours of the individual's notification of a malfunction of the console unit, activating devices, or medication-monitoring unit while the original equipment is being repaired.

5. The PERS provider must properly install all PERS equipment into a PERS individual's functioning telephone line and must furnish all supplies necessary to ensure that the system is installed and working properly. ~~[The PERS provider must test the PERS device monthly or more frequently as needed to ensure that the device is operational.]~~

6. The PERS installation includes local seize line circuitry, which guarantees that the unit will have priority over the telephone connected to the console unit should the phone be off the hook or in use when the unit is activated.

7. A PERS provider must maintain a data record for each PERS individual at no additional cost to DMAS. The record must document the following:

- a. Delivery date and installation date of the PERS;
  - b. Individual or family/caregiver signature verifying receipt of PERS device;
  - c. Verification by a test that the PERS device is operational, monthly or more frequently as needed;
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- d. Updated and current individual responder and contact information, as provided by the individual, the individual's family/caregiver, or case manager; and*
- e. A case log documenting the individual's utilization of the system and contacts and communications with the individual, family/caregiver, case manager, and responders.*
- 8. The PERS provider must have back-up monitoring capacity in case the primary system cannot handle incoming emergency signals.*
- 9. Standards for PERS equipment. All PERS equipment must be approved by the Federal Communications Commission and meet the Underwriters' Laboratories, Inc. (UL) safety standard Number 1635 for Digital Alarm Communicator System Units and Number 1637, which is the UL safety standard for home health care signaling equipment. The UL listing mark on the equipment will be accepted as evidence of the equipment's compliance with such standard. The PERS device must be automatically reset by the response center after each activation, ensuring that subsequent signals can be transmitted without requiring manual reset by the individual.*
- 10. A PERS provider must furnish education, data, and ongoing assistance to [DMAS, ] DMHMRSAS and case managers to familiarize staff with the service, allow for ongoing evaluation and refinement of the program, and must instruct the individual, family/caregiver, and responders in the use of the PERS service.*
- 11. The emergency response activator must be activated either by breath, by touch, or by some other means, and must be usable by individuals who are visually or hearing impaired or physically disabled. The emergency response communicator must be capable of operating without external power during a power failure at the individual's home for a minimum period*
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*of 24-hours and automatically transmit a low battery alert signal to the response center if the back-up battery is low. The emergency response console unit must also be able to self-disconnect and redial the back-up monitoring site without the individual resetting the system in the event it cannot get its signal accepted at the response center.*

*12. Monitoring agencies must be capable of continuously monitoring and responding to emergencies under all conditions, including power failures and mechanical malfunctions. It is the PERS provider's responsibility to ensure that the monitoring agency and the agency's equipment meets the following requirements. The monitoring agency must be capable of simultaneously responding to signals for help from multiple individuals' PERS equipment. The monitoring agency's equipment must include the following:*

- a. A primary receiver and a back-up receiver, which must be independent and interchangeable;*
  - b. A back-up information retrieval system;*
  - c. A clock printer, which must print out the time and date of the emergency signal, the PERS individual's identification code, and the emergency code that indicates whether the signal is active, passive, or a responder test;*
  - d. A back-up power supply;*
  - e. A separate telephone service;*
  - f. A toll free number to be used by the PERS equipment in order to contact the primary or back-up response center; and*
  - g. A telephone line monitor, which must give visual and audible signals when the incoming telephone line is disconnected for more than 10 seconds.*
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*13. The monitoring agency must maintain detailed technical and operations manuals that describe PERS elements, including the installation, functioning, and testing of PERS equipment, emergency response protocols, and recordkeeping and reporting procedures.*

*14. The PERS provider shall document and furnish within 30 days of the action taken a written report to the case manager for each emergency signal that results in action being taken on behalf of the individual. This excludes test signals or activations made in error.*

*15. The PERS provider is prohibited from performing any type of direct marketing activities to Medicaid recipients.*

*16. The provider must obtain and keep on file a copy of the most recently completed DMAS-122 form. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.*

**12 VAC 30-120-237. Prevocational services.**

*A. Service description. Prevocational services are services aimed at preparing an individual for paid or unpaid employment, but are not job-task oriented. Prevocational services are provided to individuals who are not expected to be able to join the general work force without supports or to participate in a transitional sheltered workshop within one year of beginning waiver services, (excluding supported employment programs). Activities included in this service are not primarily directed at teaching specific job skills but at underlying habilitative goals such as accepting supervision, attendance, task completion, problem solving, and safety.*

*B. Criteria. In order to qualify for prevocational services, the individual shall have a demonstrated need for support in skills that are aimed toward preparation of paid employment that may be offered in a variety of community settings.*

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*C. Service units and service limitations. [Billing is for one unit of service.] This service, either as a stand-alone service or in combination with day support and supported employment services is limited to 780 units per CSP year. Prevocational services can be provided in center- or non-center-based settings.*

*There must be documentation regarding whether prevocational services are available in vocational rehabilitation agencies through § 110 of the Rehabilitation Act of 1973 or [~~in Special Education services~~] through [~~§ 602 (16) and (17) of~~] the Individuals with Disabilities Education Act [(IDEA)]. If the individual is [~~older than 22 years and therefore not eligible for~~] services through the IDEA special education funding, documentation is required only for lack of DRS funding. When services are provided through these sources, the ISP shall not authorize them as a waiver expenditure. Prevocational services can only be provided when the individual's compensation is less than 50% of the minimum wage.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based services participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, prevocational providers must also meet the following qualifications:*

*1. The provider of prevocational services must be a vendor of extended employment services, long-term employment services, or supported employment services for DRS, or be licensed by DMHMRSAS as a provider of day support services. Providers must ensure and document that persons providing prevocational services have training in the characteristics of mental retardation and appropriate interventions, training strategies, and support methods for persons with mental retardation and functional limitations.*

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2. *Required documentation in the individual's record. The provider must maintain a record regarding each individual receiving prevocational services. At a minimum, the records must contain the following:*

a. *A functional assessment~~[ must be]~~ conducted by the provider to evaluate each individual in the prevocational environment and community settings.*

b. *An ISP, which contains, at a minimum, the following elements:*

(1) *The individual's strengths, desired outcomes, required or desired supports, and training needs;*

(2) *The individual's goals and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;*

(3) *Services to be rendered and the frequency of services to accomplish the above goals and objectives;*

(4) *A timetable for the accomplishment of the individual's goals and objectives;*

(5) *The estimated duration of the individual's needs for services; and*

(6) *The provider staff responsible for the overall coordination and integration of the services specified in the ISP.*

3. *The ISP goals, objectives, and activities must be reviewed by the provider~~[ quarterly,~~ quarterly, ~~annually,~~ annually, ~~or and]~~ more often as needed, ~~[with the individual receiving the services, modified as appropriate.]~~ and ~~[this results of these written review reviews]~~ submitted to the case manager. [For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual. In addition, the ISP goals, objectives, and activities must be*

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~~reviewed by the provider quarterly, modified as appropriate, and the results of such review must be submitted to the case manager.]~~

4. Documentation must confirm the individual's attendance, amount of time spent in services, and type of services rendered, and provide specific information regarding the individual's response to various settings and supports as agreed to in the ISP objectives.

5. In instances where [prevocational] staff are required to ride with the individual to and from prevocational services, the [prevocational] staff time can be billed for prevocational services, provided that billing for this time does not exceed 25% of the total time spent in prevocational services for that day. Documentation must be maintained to verify that billing for [prevocational] staff coverage during transportation does not exceed 25% of the total time spent in the prevocational services for that day.

6. A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.

**12 VAC 30-120-240. Covered services and limitations. (Repealed.)**

~~A. Residential support services shall be provided in the recipient's home (including the home of a relative or other person, a foster home or an adult family care home), in a licensed adult care residence or licensed group home. The service shall be designed to enable individuals qualifying for the mental retardation waiver to be maintained in living arrangements in the community and shall include: (i) training in or reinforcement of functional skills and appropriate behavior related to a recipient's health and safety, personal care, activities of daily living and use of community resources; (ii) assistance with medication management and monitoring health, nutrition and physical condition; and (iii) assistance with personal care activities of daily living and use of~~

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~~community resources. Service providers shall be reimbursed only for the amount and type of residential support services included in the individual's approved plan of care. Residential support services shall not be authorized in the plan of care unless the individual requires these services and these services exceed the care included in the individual's room and board arrangement for individuals residing in an adult care residence or group home, or, for other individuals, if these services exceed services provided by the family or other caregiver. In order to qualify for this service in an adult care residence or a group home, the individual shall have a demonstrated need for continuous training, assistance, and supervision for up to 24 hours in a residential setting provided by paid staff. For other individuals, services will not routinely be provided across a continuous 24-hour period.~~

- ~~1. All individuals must meet the following criteria in order for Medicaid to reimburse for mental retardation residential support services. The individual must meet the eligibility requirements for this waiver service as herein defined. The individual shall have a demonstrated need for supports to be provided by paid staff by the residential support provider.~~
  - ~~2. An individual's case manager shall not be the direct service staff person or the immediate supervisor of a staff person who provides supported living services to the individual.~~
  - ~~3. This service must be provided on an individualized basis according to the plan of care and service setting requirements.~~
  - ~~4. This service may not be provided to any individual who receives personal assistance services under the mental retardation community waiver or other residential program that provides a comparable level of care.~~
  - ~~5. Room and board and general supervision shall not be components of this service.~~
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~~6. This service shall not be used solely to provide routine or emergency respite care for parent or other care givers with whom the individual lives.~~

~~B. Day support services include a variety of training, support, and supervision offered in a setting which allows peer interactions and community integration. If prevocational services are offered, the plan of care must contain documentation regarding whether prevocational services are available in vocational rehabilitation agencies through § 110 of the Rehabilitation Act of 1973 or in special education services through § 602(16) and (17) of the Individuals with Disabilities Education Act. When services are provided through these sources, the plan of care shall not authorize them as a waiver funded expenditure. Compensation for prevocational services can only be made when the individual's productivity is less than 50% of the minimum wage. Service providers are reimbursed only for the amount and type of day support services included in the individual's approved plan of care based on the setting, intensity and duration of the service to be delivered. In order to qualify for prevocational service, the individual shall have a demonstrated need for support in skills which are aimed towards preparation of paid employment which may be offered in a variety of community settings. For day support services, individuals shall have demonstrated the need for functional training, assistance and specialized supervision offered in settings, other than the individual's own residence, which allow an opportunity for being productive and contributing members of their communities.~~

~~C. Supported employment services shall include training in specific skills related to paid employment and provision of ongoing or intermittent assistance or specialized supervision to enable a consumer to maintain paid employment. Each plan of care must contain documentation regarding whether supported employment services are available in vocational rehabilitation agencies through § 110 of the Rehabilitation Act of 1973 or in special education services through~~

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~~§ 602(16) and (17) of the Individuals with Disabilities Education Act. When services are provided through these sources, the plan of care shall not authorize them as a waiver funded expenditure. Service providers are reimbursed only for the amount and type of habilitation services included in the individual's approved plan of care based on the intensity and duration of the service delivered. Reimbursement shall be limited to actual interventions by the provider of supported employment, not for the amount of time the individual is in the supported employment environment. In order to qualify for these services, the individual shall have a demonstrated need for training, specialized supervision, or assistance in paid employment and for whom competitive employment at or above the minimum wage is unlikely without this support and who, because of the disability, needs ongoing support, including supervision, training and transportation to perform in a work setting.~~

~~D. Therapeutic consultation is available under the waiver for Virginia licensed or certified practitioners in psychology, social work, occupational therapy, physical therapy, therapeutic recreation, rehabilitation engineering, and speech therapy. Behavior consultation performed by persons certified by DMHMRSAS based on the individual's work experience, education and demonstrated knowledge, skills, and abilities may also be a covered waiver service. These services may be provided, based on the individual plan of care, for those individuals for whom specialized consultation is clinically necessary to enable their utilization of waiver services. Therapeutic consultation services, other than behavior consultation, may be provided in residential or day support settings or in office settings in conjunction with another waiver service. Behavior consultation may be offered in the absence of any other waiver service when the consultation provided to informal caregivers is determined to be necessary to prevent institutionalization. Service providers are reimbursed according to the amount and type of~~

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~~service authorized in the plan of care based on an hourly fee for service. In order to qualify for these services, the individual shall have a demonstrated need for consultation in any of these services. Documented need indicates that the Plan of Care could not be implemented effectively and efficiently without such consultation from this service.~~

~~E. Environmental modifications shall be available to individuals who are receiving at least one other waiver service. It is provided primarily in the individual's home or other community residence in accordance with all applicable state or local building codes. A maximum limit of \$5,000 may be reimbursed in a year. In order to qualify for these services, the individual shall have a demonstrated need for equipment or modifications of a remedial or medical benefit offered primarily in a consumer's home, vehicle, community activity setting, or day program to specifically serve to improve the individual's personal functioning. This service shall encompass those items not otherwise covered in the State Plan for Medical Assistance.~~

~~F. Personal assistance is available only for individuals who do not receive residential services or live in adult care residences and for whom training and skills development are not objectives or are provided through another program or service. In order to qualify for these services, the individual shall have demonstrated a need for personal assistance in activities of daily living, medication or other medical needs or monitoring health status or physical condition.~~

~~G. Respite care services are limited to a maximum of 30 days or 720 hours per year. In order to qualify for these services, the individual shall have a demonstrated need for substitute care/temporary care which is normally provided by a primary care giver to provide relief for the family or surrogate family/care giver. This care shall not be provided to relieve group home or adult care residence staff where residential care is provided in paid shifts.~~

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~~H. Nursing services are for individuals with serious medical conditions and complex health care needs which require specific skilled nursing services which cannot be provided by non-nursing personnel. Skilled nursing is provided in the individual's home or other community setting on a regularly scheduled or intermittent need basis. The plan of care must indicate that the service is necessary to prevent institutionalization and is not available under the State Plan for Medical Assistance. In order to qualify for these services, the individual shall have demonstrated complex health care needs which require specific skilled nursing services which are ordered by a physician and which cannot be otherwise accessed under the Title XIX State Plan.~~

~~I. Assistive technology is available to individuals who are receiving at least one other waiver service and may be provided in a residential or nonresidential setting. A maximum limit of \$5,000 may be reimbursed in a year. In order to qualify for these services, the individual shall have a demonstrated need for equipment or modification for remedial or medical benefit primarily in a consumer's home, vehicle, community activity setting, or day program to specifically serve to improve the individual's personal functioning. This shall encompass those items not otherwise covered under the State Plan.~~

~~J. Crisis stabilization services shall provide, as appropriate, neuropsychological, psychiatric, psychological and other assessments and stabilization, functional assessments, medication management and behavior assessment, behavior support, intensive care coordination with other agencies and providers to assist planning and delivery of services and supports to maintain community placement of the recipient; training of family members and other care givers and service providers in positive behavioral supports to maintain the recipient in the community; and temporary crisis supervision to ensure the safety of the recipient and others. The unit for each component of the service shall equal one hour. This service may be authorized for provision of a~~

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~~maximum period of 15 days and during no more than 60 days in a calendar year. The actual service units per episode shall be based on the documented clinical needs of the individuals being served.~~

~~1. These services shall be available to individuals who meet at least one of the following criteria:~~

- ~~a. Individual is experiencing a marked reduction in psychiatric, adaptive, or behavioral functioning;~~
- ~~b. Individual is experiencing extreme increase in emotional distress;~~
- ~~c. Individual needs continuous intervention to maintain stability; or~~
- ~~d. Individual is causing harm to himself or others.~~

~~2. This service shall be designed to stabilize the recipient and strengthen the current semi-independent living situation, or situation with family or other primary care givers so the recipient can be maintained during and beyond the crisis period. These services may be provided directly in, but not limited to, the following settings:~~

- ~~a. The home of an individual who lives with family, friends, or other primary care giver or givers;~~
  - ~~b. The home of an individual who lives independently/semi-independently to augment any current services and supports;~~
  - ~~c. A community-based residential program to augment current services and supports;~~
  - ~~d. A day program or setting to augment current services and supports; or~~
  - ~~e. A respite care setting to augment current services and supports.~~
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~~3. These services may be initiated following a documented face to face assessment by a qualified mental retardation professional. If appropriate, the assessment shall be conducted jointly with a licensed mental health professional or other appropriate professional or professionals. Crisis supervision, if provided as part of this service, shall be separately billed in hourly service units. The need for this service or an extension of the authorization for this service must be clearly documented following a documented face to face reassessment conducted by a qualified mental retardation professional. If appropriate, the reassessment will be conducted jointly with a licensed mental health professional or other appropriate professional or professionals.~~

~~4. An Individualized Service Plan (ISP) must be developed or revised within 72 hours of assessment or reassessment. Crisis supervision may be provided as a component of this service only if clinical/behavioral intervention allowable under this service also is provided during authorized period. Crisis supervision must be provided one to one and face to face with the recipient.~~

~~5. This service shall not be used for continuous long term care beyond the service limits. Room and board and general supervision shall not be components of this service and shall not be included in reimbursement.~~

***12 VAC 30-120-241. Residential support services.***

*A. Service description. Residential support services [consist of training, assistance or specialized supervision provided primarily in an individual's home or in a licensed or approved residence to enable an individual to acquire, retain, or improve are designed to assist individuals in*

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~~acquiring, retaining and improving~~ the self-help, socialization, and adaptive skills necessary to reside successfully in home and community-based settings.

Service providers shall be reimbursed only for the amount and type of residential support services included in the individual's approved ISP. Residential support services shall be authorized in the ISP only when the individual requires these services and these services exceed the services included in the individual's room and board arrangements for individuals residing in group homes, or, for other individuals, if these services exceed ~~services~~ supports provided by the family/caregiver. Services will not be routinely reimbursed for a continuous 24-hour period.

**B. Criteria.**

1. In order for Medicaid to reimburse for residential support services, the individual shall have a demonstrated need for supports to be provided by staff who are paid by the residential support provider.
2. In order to qualify for this service in a congregate setting, the individual shall have a demonstrated need for continuous training, assistance, and supervision for up to 24 hours per day provided by a DMHMRSAS-licensed residential provider.
3. A functional assessment must be conducted to evaluate each individual in his home environment and community settings.
4. The residential support ISP must indicate the necessary amount and type of activities required by the individual, the schedule of residential support services, and the total number of projected hours per ~~day~~ week of waiver reimbursed residential support.

C. Service units and service limitations. Residential supports shall be reimbursed ~~on an hourly basis~~ for time the residential support staff is working directly with the individual. Total

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~~[monthly]~~ billing cannot exceed the ~~[total hours]~~ authorized [amount] in the ISP. The provider must maintain documentation of the date and times that services were provided, and specific circumstances that prevented provision of all of the scheduled services.

1. This service must be provided on an individual-specific basis according to the ISP and service setting requirements;

2. [Congregate Residential residential] support services ~~[(in-home and congregated)]~~ may not be provided to any individual who receives personal assistance services under the MR Waiver or other residential services that provide a comparable level of care. Respite services may be provided in conjunction with in-home residential support services to unpaid caregivers.

3. Room, board, and general supervision shall not be components of this service;

4. This service shall not be used solely to provide routine or emergency respite for the family/caregiver with whom the individual lives;[ and]

5. Medicaid reimbursement is available only for residential support services provided when the individual is present and when a qualified provider is providing the services; ~~and~~

~~[6. An individual's case manager shall not be the direct service staff person or the immediate supervisor of a staff person who provides residential support services to the individual.]~~

D. Provider requirements.

1. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, the provider of residential services must have the appropriate DMHMRSAS residential license.

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2. Residential support services may also be provided in adult foster care homes approved by local DSS offices pursuant to state DSS regulations.

3. In addition to licensing requirements, persons providing residential support services are required to participate in training in the characteristics of mental retardation and appropriate interventions, training strategies, and support methods for individuals with mental retardation and functional limitations. All persons providing residential support services must pass an objective, standardized test of skills, knowledge, and abilities developed by DMHMRSAS and administered according to DMHMRSAS policies.

4. Required documentation in the individual's record. The provider agency must maintain records of each individual receiving residential support services. At a minimum these records must contain the following:

a. A functional assessment[ ~~must be~~] conducted by the provider to evaluate each individual in the residential environment and community settings.

b. An ISP containing the following elements:

(1) The individual's strengths, desired outcomes, required or desired supports, or both, and training needs;

(2) The individual's goals and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;

(3) The services to be rendered and the schedule of services to accomplish the above goals, ~~and~~ objectives, and desired outcomes;

(4) A timetable for the accomplishment of the individual's goals and objectives;

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(5) *The estimated duration of the individual's needs for services; and*

(6) *The provider staff responsible for the overall coordination and integration of the services specified in the ISP.*

c. *The ISP goals, objectives, and activities must be reviewed by the provider [quarterly,] annually, [~~or and~~] more often as needed[ ~~with the individual receiving the services, modified as appropriate,~~] and [~~the~~] results of[ ~~this~~ these review reviews] submitted to the case manager. [~~For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual or family/caregiver. In addition, the ISP goals, objectives, and activities must be reviewed by the provider quarterly, modified as appropriate and submitted to the case manager.~~]*

d. *Documentation must confirm attendance, the amount of time in services, and provide specific information regarding the individual's response to various settings and supports as agreed to in the ISP objectives.*

e. *A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.*

**12 VAC 30-120-243. Respite services (agency-directed model).**

A. *Service description. Respite services are [supports for that which is normally] provided [by the family or other unpaid primary caregiver of ~~to~~ an individual ~~individuals unable to care for themselves~~. These services are] furnished on a short-term basis because of the absence or need for relief of those unpaid caregivers normally providing the care for the individuals.*

B. *Criteria. Respite services may only be offered to individuals who have an unpaid primary caregiver living in the home who requires temporary relief to avoid institutionalization of the*

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*individual. Respite services are designed to focus on the need of the unpaid caregiver for temporary relief and to help prevent the breakdown of the unpaid caregiver due to the physical burden and emotional stress of providing continuous support and care to the individual.*

*C. Service units and service limitations. The unit of service is one hour. Respite services shall be limited to a maximum of 720 hours per calendar year. This service shall not be provided to relieve group home or assisted living facility staff where residential care is provided in shifts. Respite services shall not be provided by adult foster care/family care providers for an individual residing in that home. Training of the individual is not provided with respite services. Individuals who are receiving consumer-directed respite and agency-directed respite services cannot exceed 720 hours per calendar year combined.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, respite providers must meet the following qualifications:*

*1. Respite services shall be provided by a DMAS enrolled personal care/respice care provider, a DMHMRSAS-licensed residential provider, a DMHMRSAS-licensed respice services provider, or a DSS-approved foster care home for children or adult foster home provider. [For DMHMRSAS-licensed residential or respice services providers, a residential supervisor will provide ongoing supervision of all respice assistants;]*

*[2. For DMAS-enrolled personal care/respice care providers, the respice services provider must employ or subcontract with and directly supervise an RN or an LPN who will provide ongoing supervision of all respice assistants. The supervising RN or LPN must be currently licensed to practice nursing in the Commonwealth and have at least two years of related clinical nursing*

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*experience that may include work in an acute care hospital, public health clinic, home health agency, ICF/MR or nursing facility.]*

- a. *[The supervisor must make an initial assessment visit prior to the start of care for any individual requesting respite services. The supervisor must also perform any subsequent reassessments or changes to the supporting documentation; and]*
  - b. *[The supervisor must make supervisory visits as often as needed to ensure both quality and appropriateness of services]*
    - (1) *[When respite services are received on a routine basis, the minimum acceptable frequency of these supervisory visits shall be every 30 to 90 days based on the needs of the individual;]*
    - (2) *[When respite services are not received on a routine basis, but are episodic in nature, the supervisor is not required to conduct a supervisory visit every 30 to 90 days. Instead, the supervisor must conduct the initial home visit with the respite assistant immediately preceding the start of services and make a second home visit within the respite period;]]*
    - (3) *[When respite services are routine in nature and offered in conjunction with personal assistance, the 30- to 90-day supervisory visit conducted for personal assistance may serve as the supervisory visit for respite services. However, the supervisor must document supervision of respite services separately. For this purpose, the same individual record can be used with a separate section for respite services documentation;]*
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*c. [ Based on continuing evaluations of the assistants' performances and individuals' needs, the supervisor shall identify any gaps in the assistants' ability to function competently and shall provide training as indicated;]*

*[d. ]Basic qualifications for respite assistants include:*

*~~[a. (1)]~~ Be at least 18 years of age or older;*

*~~[b. (2)]~~ Be physically able to do the work;*

*~~[e. (3)]~~ Have the ability to read and write [ in English to the degree necessary to perform the tasks expected;]*

*~~[d. (4)]~~ Have completed a training curriculum consistent with DMAS requirements. Prior to assigning an assistant to an individual, the provider must obtain documentation that the assistant has satisfactorily completed a training program consistent with DMAS requirements. DMAS requirements may be met in one of three ways:*

*~~[(1) (a)]~~ Registration as a certified nurse aide;*

*~~[(2) (b)]~~ Graduation from an approved educational curriculum which offers certificates qualifying the student as a nursing assistant, geriatric assistance, or home health aide; or*

*~~[(3) (c)]~~ Completion of ~~Provider~~ provider]-offered training, which is consistent with the basic course outline approved by DMAS.*

~~{E(5). }Have a satisfactory work record, as evidenced by two references from prior job experiences, including no evidence of possible abuse, neglect, or exploitation of aged or incapacitated adults or children;~~

~~{F3. Respite assistants may not be the parents of individuals who are minors,[ or] the individuals' spouses[; or legally responsible relatives for the individuals.] Payment may not be made for services furnished by other family members living under the same roof as the individual receiving services unless there is objective written documentation as to why there are no other providers available to provide the care.[ Family members who are approved to provide paid respite services must meet the qualifications for respite assistants.]~~

~~{g. Family members who are approved to provide paid respite services must meet the qualifications for respite assistants.}~~

~~{h. For DMAS-enrolled personal care/respite care providers, the respite services provider must employ or subcontract with and directly supervise an RN or an LPN who will provide ongoing supervision of all respite assistants. The supervising RN or LPN must be currently licensed to practice nursing in the Commonwealth and have at least two years of related clinical nursing experience that may include work in an acute care hospital, public health clinic, home health agency, ICF/MR or nursing facility. For DMHMRSAS licensed providers, a residential supervisor will provide ongoing supervision of all respite assistants.}~~

~~{(1) The RN and LPN must be currently licensed to practice in the Commonwealth and have at least two years of related clinical nursing experience, which may include work in an acute care hospital, ICF/MR, public health clinic, home health agency, or nursing facility;}~~

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~~{(2) Based on continuing evaluations of the assistants' performances and individuals' needs, the supervisor shall identify any gaps in the assistants' ability to function competently and shall provide training as indicated;}~~

~~{(3) The supervisor must make an initial assessment visit prior to the start of care for any individual admitted to respite services. The supervisor must also perform any subsequent reassessments or changes to the supporting documentation; and}~~

~~{(4) The supervisor must make supervisory visits as often as needed to ensure both quality and appropriateness of services;}~~

~~{(a) When respite services are received on a routine basis, the minimum acceptable frequency of these supervisory visits shall be every 30 to 90 days based on the needs of the individual;}~~

~~{(b) When respite services are not received on a routine basis, but are episodic in nature, the supervisor is not required to conduct a supervisory visit every 30 to 90 days. Instead, the supervisor must conduct the initial home visit with the respite assistant immediately preceding the start of services and make a second home visit within the respite period;}~~

~~{(c) When respite services are routine in nature and offered in conjunction with personal assistance, the 30 to 90 day supervisory visit conducted for personal assistance may serve as the supervisory visit for respite services. However, the supervisor must document supervision of respite services separately. For this purpose, the same individual record can be used with a separate section for respite services documentation;}~~

[4. Inability to provide services and substitution of assistants. ]

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[a. When a respite assistant is absent, the provider is responsible for ensuring that services continue to individuals. The provider may provide another assistant, obtain a substitute assistant from another provider, if the lapse in coverage is to be less than two weeks in duration, or transfer the individual's services to another provider. The respite provider that has the authorization to provide services to the individual must contact the case manager to determine if additional preauthorization is necessary.]

[b. If no other provider is available who can supply an assistant, the provider shall notify the individual, family/caregiver, and case manager so that the case manager may locate another available provider of the individual's choice.]

[c. During temporary, short-term lapses in coverage, not to exceed two weeks in duration, a substitute assistant may be secured from another respite provider. Under these circumstances, the following requirements apply:]

[(1) The preauthorized respite services provider is responsible for providing the supervision for the substitute assistant;]

[(2) The provider of the substitute assistant must send a copy of the assistant's records signed by the individual or family/caregiver on his behalf and the substitute assistant to the respite provider having the authorization. All documentation of services rendered by the substitute assistant must be in the individual's record. The documentation of the substitute assistant's qualifications must also be obtained and recorded in the personnel files of the provider having individual care responsibility. The two providers involved are responsible for negotiating the financial arrangements of paying the substitute assistant; and]

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[(3) Only the provider authorized for services may bill DMAS for services rendered by the substitute assistant.]

[d. Substitute assistants obtained from other providers may be used only in cases where no other arrangements can be made for individual respite services coverage and may be used only on a temporary basis. If a substitute assistant is needed for more than two weeks, the case must be transferred to another respite services provider that has the assistant capability to serve the individual or individuals.]

[5. Required documentation for individual's record. The provider must maintain records of each individual receiving respite services. These records must be separated from those of other services. At a minimum these records must contain:]

[a. Initial assessment completed prior to or on the date services are initiated and subsequent reassessments and changes to supporting documentation by the supervisor, if required;]

[b. An ISP, which contains, at a minimum, the following elements:]

[(1) The individual's strengths, desired outcomes, required or desired supports;]

[(2) The individual's goals;]

[(3) The estimated duration of the individual's needs for services and the amount of hours needed; and]

[(4) The provider staff responsible for the overall coordination and integration of the services specified in the ISP;]

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[c. Dated notes documenting contacts with the respite services assistant and of supervisory visits to the individual's home when required; The supervisor must document in a summary note of the supervision visit:]

[(1) Whether respite services continue to be appropriate;]

[(2) Whether the service is adequate to meet the individual's needs or if changes need to be made;]

[(3) The individual's or family/caregiver's satisfaction with the service;]

[(4) Any hospitalization or change in medical condition or functioning status;]

[(5) Other services received and the amount; ]

(6) [The presence or absence of the assistant in the home during the supervisor's visit; and]

(7) [Any special tasks performed by the assistant (e.g., assistance with bowel/bladder programs, range of motion exercises, etc.) and the assistant's qualifications to perform these tasks.]

[d. All correspondence to the individual, family/caregiver, case manager, DMAS, and DMHMRSAS;]

[e. Significant contacts made with family/caregiver, physicians, formal and informal service providers, and all professionals concerning the individual;]

[f. A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain the completed DMAS-122 from the case manager; and]

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*[g. Respite assistant record of services rendered and individual's responses. The assistant record must contain:]*

- (1) [The specific services delivered to the individual by the respite assistant and the individual's response;]*
- (2) [The arrival and departure time of the assistant for respite services only;]*
- (3) [Comments or observations about the individual. Assistant comments must include, at a minimum, observation of the individual's physical and emotional condition, daily activities, and the individual's responses to services rendered; and]*
- (4) [The signature of the assistant, individual, or family/caregiver as appropriate, for each respite event to verify that respite services have been rendered.]*

*[c. The supervisor must document in a summary note of the supervision visit:]*

*~~{(1) Whether respite services continue to be appropriate;}~~*

*~~{(2) Whether the supporting documentation is adequate to meet the individual's needs or if changes need to be made;}~~*

*~~{(3) The individual's or family/caregiver's satisfaction with the service;}~~*

*~~{(4) Any hospitalization or change in medical condition or functioning status;}~~*

*~~{(5) Other services received and the amount; and}~~*

*~~{(6) The presence or absence of the assistant in the home during the supervisor's visit;}~~*

*~~{3. Inability to provide services and substitution of assistants. When a respite assistant is absent and the respite provider has no other assistant available to provide services, the provider is responsible for ensuring that services continue to individuals.}~~*

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~~{a. If a provider cannot supply a respite assistant to render authorized services, the provider may either obtain a substitute assistant from another provider, if the lapse in coverage is to be less than two weeks in duration, or may transfer the individual's services to another provider. The personal assistance provider that has the authorization to provide services to the individual must contact the case manager to determine if additional preauthorization is necessary.}~~

~~{b. If no other provider is available who can supply an assistant, the provider shall notify the individual, family/caregiver, and case manager so that the case manager may locate another available provider.}~~

~~{c. During temporary, short term lapses in coverage, not to exceed two weeks in duration, a substitute assistant may be secured from another respite provider. Under these circumstances, the following requirements apply:}~~

~~{(1) The preauthorized respite services provider is responsible for providing the supervision for the substitute assistant;}~~

~~{(2) The preauthorized respite services provider must obtain a copy of the assistant's daily records signed by the individual and the substitute assistant from the respite services provider providing the substitute assistant. All documentation of services rendered by the substitute assistant must be in the individual's record. The documentation of the substitute assistant's qualifications must also be obtained and recorded in the personnel files of the provider having individual care responsibility. The two providers involved are responsible for negotiating the financial arrangements of paying the substitute assistant; and}~~

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~~{(3) Only the provider authorized for services may bill DMAS for services rendered by the substitute assistant.}~~

~~{d. Substitute assistants obtained from other providers may be used only in cases where no other arrangements can be made for individual respite services coverage and may be used only on a temporary basis. If a substitute assistant is needed for more than two weeks, the case must be transferred to another respite services provider that has the assistant capability to serve the individual or individuals.}~~

~~{4. Required documentation for individual's record. The provider must maintain records of each individual receiving respite services. These records must be separated from those of other services. At a minimum these records must contain:}~~

~~{a. Initial assessment completed prior to or on the date services are initiated and subsequent reassessments and changes to supporting documentation by the supervisor, if required;}~~

~~{b. An ISP, which contains, at a minimum, the following elements:}~~

~~{(1) The individual's strengths, desired outcomes, required or desired supports, and training needs, if applicable;}~~

~~{(2) The individual's goals and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;}~~

~~{(3) Services to be rendered, the approximate hours that will be allowed for each activity, and the frequency of services to accomplish the above goals and objectives;}~~

~~{(4) A timetable for the accomplishment of the individual's goals and objectives;}~~

~~{(5) The estimated duration of the individual's needs for services; and}~~

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~~{(6) The provider staff responsible for the overall coordination and integration of the services specified in the ISP;}~~

~~{e. Dated contact notes documenting contacts with the respite services assistant and of supervisory visits to the individual's home when required;}~~

~~{d. All correspondence to the individual, family/caregiver, case manager, DMAS, and DMHMRSAS;}~~

~~{e. Significant contacts made with family/caregiver, physicians, formal and informal service providers, and all professionals concerning the individual; and}~~

~~{f. A copy of the most recently completed DMAS 122. The provider must clearly document efforts to obtain the completed DMAS 122 from the case manager.}~~

~~{5. Respite assistant record of services rendered and individual's responses. The assistant record must contain:}~~

~~{a. The specific services delivered to the individual by the respite assistant and the individual's response;}~~

~~{b. The arrival and departure time of the assistant for respite services only;}~~

~~{c. Comments or observations recorded weekly about the individual. Assistant comments must include, at a minimum, observation of the individual's physical and emotional condition, daily activities, and the individual's responses to services rendered; and}~~

~~{d. The signature of the assistant, individual, or family/caregiver as appropriate, for each respite event to verify that respite services have been rendered.}~~

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~~{6. Respite assistants may not be the parents of individuals who are minors, the individuals' spouses, or legally responsible relatives for the individuals. Payment may not be made for services furnished by other family members living under the same roof as the individual receiving services unless there is objective written documentation as to why there are no other providers available to provide the service.}~~

~~{7. Family members who have been approved for paid reimbursement must meet the respite assistant qualifications.}~~

**12 VAC 30-120-245. Skilled nursing services.**

A. *Service description.* Skilled nursing services shall be provided for individuals with serious medical conditions and complex health care needs that require specific skilled nursing services that cannot be provided by non-nursing personnel. Skilled nursing may be provided in the individual's home or other community setting on a regularly scheduled or intermittent need basis. [It may include consultation and training for other providers.]

B. *Criteria.* In order to qualify for these services, the individual shall have demonstrated complex health care needs that require specific skilled nursing services ordered by a physician and that cannot be otherwise accessed under the Title XIX State Plan for Medical Assistance. The CSP must indicate that the service is necessary in order to prevent institutionalization and is not available under the State Plan for Medical Assistance.

C. *Service units and service limitations.* Skilled nursing services to be rendered by either registered or licensed practical nurses are provided in hourly units. The services must be explicitly detailed in an ISP and must be specifically ordered by a physician as medically necessary to prevent institutionalization.

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*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, participating skilled nursing providers must ~~maintain the following documentation~~ meet the following qualifications:]*

*[1. Skilled nursing services shall be provided by either a DMAS-enrolled home care organization provider or home health provider, or by a registered nurse licensed by the Commonwealth or licensed practical nurse licensed by the Commonwealth (under the supervision of a registered nurse licensed by the Commonwealth), contracted or employed by DMHMRSAS-licensed day support, respite, or residential providers.]*

*[2. Skilled nursing services providers may not be the parents of individuals who are minors, or the individual's spouse. Payment may not be made for services furnished by other family members living under the same roof as the individual receiving services unless there is objective written documentation as to why there are no other providers available to provide the care. Family members who provide skilled nursing services must meet the skilled nursing requirements.]*

*[3. Foster care providers may not be the skilled nursing services providers for the same individuals to whom they provide foster care.]*

*4. [Required documentation. The provider must maintain a record that contains:]*

*[a. ]An ISP that contains, at a minimum, the following elements:*

*[(1)] The individual's strengths, desired outcomes, required or desired supports,  
[and training needs;]*

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~~(2)The individual's goals [~~and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;~~]~~

~~(3) Services to be rendered and the frequency of services to accomplish the above goals and objectives;~~

~~[d. A timetable for the accomplishment of the individual's goals and objectives];~~

~~[(4)-e ]The estimated duration of the individual's needs for services; [~~and~~]~~

~~ff.(5)] The provider staff responsible for the overall coordination and integration of the services specified in the ISP; [~~and~~]~~

~~fg.b. ] [~~Any~~ Documentation of any] training of family/caregivers or staff, or both, to be provided, including the person or persons being trained and the content of the training, consistent with the Nurse Practice Act [~~;~~ ;]~~

~~[2.c.]Documentation of the determination of medical necessity by a physician prior to services being rendered;~~

~~[3.d.]Documentation of nursing license/qualifications of providers;~~

~~[4- e.] Documentation indicating the dates and times of nursing services and the amount and type of service or training provided;~~

~~[5 f. Documentation that the ISP was reviewed by the provider quarterly, annually, and more often as needed , modified as appropriate, and results of these reviews submitted to the case manager. For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual. The ISP must be reviewed by the provider with the individual receiving the services, and the results of this review must be submitted to the case manager, at~~

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~~least annually and as needed. In addition, the ISP with goals, objectives, and activities modified as appropriate, must be reviewed quarterly and submitted to the case manager;]~~

~~[6- g.] Documentation that the ISP has been reviewed by a physician within 30 days of initiation of services, when any changes are made to the ISP, and also reviewed and approved annually by a physician; and~~

~~7- h. A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain the completed DMAS-122 form from the case manager.~~

~~E. [Skilled nursing services shall be provided by either a DMAS-enrolled private duty nursing provider or a home health provider, or by a registered nurse or licensed practical nurse, (under the supervision of a registered nurse licensed by the Commonwealth of Virginia) and contracted or employed by DMHMRSAS licensed day support, respite, or residential providers.]~~

~~[1. Skilled nursing services providers may not be the parents of individuals who are minors, the individual's spouse, or legally responsible relatives for the individual. Payment may not be made for services furnished by other family members living under the same roof as the individual receiving services unless there is objective written documentation as to why there are no other providers available to provide the care. Family members must meet the skilled nursing requirements.]~~

~~[2. Foster care providers may not be the skilled nursing services providers for the same individuals to whom they provide foster care.]~~

## **12 VAC 30-120-247. Supported employment services.**

A. Service description.

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*1. Supported employment services is work in settings in which persons without disabilities are employed. It is especially designed for individuals with developmental disabilities, including individuals with mental retardation, who face severe impediments to employment due to the nature and complexity of their disabilities, irrespective of age or vocational potential.*

*2. Supported employment services are available to individuals for whom competitive employment at or above the minimum wage is unlikely without ongoing supports and who because of their disability need ongoing support to perform in a work setting.*

*3. Supported employment can be provided in one of two models. Individual supported employment shall be defined as intermittent support, usually provided one-on-one by a job coach to an individual in a supported employment position. Group supported employment shall be defined as continuous support provided by staff to eight or fewer individuals with disabilities in an enclave, work crew, bench work, or entrepreneurial model. The individual's assessment and CSP must clearly reflect the individual's need for training and supports.*

***B. Criteria.***

*1. Only job development tasks that specifically include the individual are allowable job search activities under the MR waiver supported employment and only after determining this service is not available from DRS.*

*2. In order to qualify for these services, the individual shall have demonstrated that competitive employment at or above the minimum wage is unlikely without ongoing supports, and who because of his disability, needs ongoing support to perform in a work setting.*

*3. A functional assessment must be conducted to evaluate the individual in his work environment and related community settings.*

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4. *The ISP must document the amount of supported employment required by the individual.*

*Service providers are reimbursed only for the amount and type of supported employment included in the individual's ISP based on the intensity and duration of the service delivered.*

*C. Service units and service limitations.*

1. *Supported employment for individual job placement is provided in one hour units. [~~This service is limited to 780 units per CSP year.~~] This service, [~~either as a stand-alone service or when ]~~ in combination with prevocational and day support, is limited to 780 units per CSP year.*

2. *Group models of supported employment (enclaves, work crews, bench work and entrepreneurial model of supported employment) will be billed at the unit rate. This service is limited to 780 units per CSP year. This service, either as a stand-alone service or in combination with prevocational and day support, is limited to 780 units per CSP year.*

3. *For the individual job placement model, reimbursement of supported employment will be limited to actual documented interventions or collateral contacts by the provider, not the amount of time the individual is in the supported employment situation.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, supported employment provider qualifications include:*

1. *Supported employment shall be provided only by agencies that are DRS vendors of supported employment services;*

2. *Individual ineligibility for supported employment services through DRS or [~~special education services~~ IDEA] must be documented in the individual's record, as applicable. If the*

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*individual is ~~[older than 22 years and therefore]~~ not eligible ~~[for special education funding through IDEA]~~, documentation is required only for the lack of DRS funding;*

*3. There must be an ISP that contains, at a minimum, the following elements:*

*a. The individual's strengths, desired outcomes, required/desired supports and training needs;*

*b. The individual's goals and, for a training goal, a sequence of measurable objectives to meet the above identified outcomes;*

*c. Services to be rendered and the frequency of services to accomplish the above goals and objectives;*

*d. A timetable for the accomplishment of the individual's goals and objectives;*

*e. The estimated duration of the individual's needs for services; and*

*f. Provider staff responsible for the overall coordination and integration of the services specified in the plan.*

*[4. The ISP goals, objectives, and activities must be reviewed by the provider quarterly, annually, and more often as needed, modified as appropriate, and the results of these reviews submitted to the case manager. For the annual review and in cases where the ISP is modified, the ISP must be reviewed with the individual or family/caregiver. The ISP must be reviewed by the provider with the individual receiving the services and this written review submitted to the case manager, at least annually or as needed. In addition, the ISP with goals, objectives, and activities modified as appropriate, must be reviewed quarterly and submitted to the case manager.]*

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5. *In instances where [supported employment] staff are required to ride with the individual to and from supported employment activities, the [supported employment] staff time can be billed for supported employment provided that the billing for this time does not exceed 25% of the total time spent in ~~the~~ supported employment ~~[activity]~~ for that day. Documentation must be maintained to verify that billing [ supported employment] staff coverage during transportation does not exceed 25% of the total time spent in ~~the~~ supported employment ~~[activity]~~ for that day.*

6. *There must be a copy of the completed DMAS-122 in the record. Providers must clearly document efforts to obtain the DMAS-122 form from the case manager.*

**12 VAC 30-120-249. Therapeutic consultation.**

*A. Service description. Therapeutic consultation [ provides expertise, training and technical assistance in any of the following specialty areas to assist family members, caregivers, and other service providers in supporting the individual. The specialty areas are: (1) psychology, (2) behavioral consultation, (3) therapeutic consultation, (4) speech and language pathology, (5) occupational therapy, (6) physical therapy, and (7) rehabilitation engineering. is available under the waiver and may be provided by Virginia licensed or certified practitioners in psychology, psychiatry, social work, counseling, occupational therapy, physical therapy, therapeutic recreation, rehabilitation, psychiatric clinical nursing, and speech/language therapy.] The need for any of these services, is based on the [individuals' individual's CSPs CSP,] and provided to those individuals for whom specialized consultation is clinically necessary and who have additional challenges restricting their ability to function in the community. Therapeutic consultation services may be provided in the ~~[individuals' homes individual's home]~~ [, ~~or~~ and ] in appropriate community settings and are intended to ~~[enhance~~*

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*~~the individuals' utilization of waiver services~~ facilitate implementation of the individual's desired outcomes as identified in their CSP.]*

*B. Criteria. In order to qualify for these services, the individual shall have a demonstrated need for consultation in any of these services. Documented need must indicate that the CSP cannot be implemented effectively and efficiently without such consultation from this service.*

*1. The individual's [therapeutic consultation] ISP must clearly reflect the individual's needs, as documented in the social assessment, for specialized consultation provided to family/caregivers and providers in order to implement the ISP effectively.*

*2. Therapeutic consultation services may not include direct therapy provided to waiver individuals or monitoring activities, and may not duplicate the activities of other services that are available to the individual through the State Plan for Medical Assistance.*

*C. Service units and service limitations. The unit of service shall equal one hour. The services must be explicitly detailed in the ISP. Travel time, written preparation, and telephone communication are in-kind expenses within this service and are not billable as separate items. Therapeutic consultation may not be billed solely for purposes of monitoring. Only behavioral consultation may be offered in the absence of any other waiver service when the consultation is determined to be necessary to prevent institutionalization.*

*D. Provider requirements. In addition to meeting the general conditions and requirements for home and community-based participating providers as specified in 12 VAC 30-120-217 and 12 VAC 30-120-219, professionals rendering therapeutic consultation services shall meet all applicable state licensure or certification requirements. Persons providing rehabilitation consultation shall be rehabilitation engineers or certified rehabilitation specialists. Behavioral*

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*consultation may be performed by professionals based on the professionals' work experience, education, and demonstrated knowledge, skills, and abilities.*

*The following documentation is required for therapeutic consultation:*

*1. An ISP, that contains at a minimum, the following elements:*

*a. Identifying information;*

*b. Targeted objectives, time frames, and expected outcomes; ~~and~~*

*c. Specific consultation activities;~~and~~*

*[d. A written Support Plan detailing the interventions or support strategies)].*

*2. Ongoing documentation of consultative services rendered in the form of contact-by-contact [or monthly] notes [ that identify each contact.]*

*3. If the consultation service extends beyond the one year, the ISP must be reviewed by the provider with the individual receiving the services and the case manager, and this written review must be submitted to the case manager, at least annually, or [more ] as needed. If the consultation services extend three months or longer, written quarterly reviews are required to be completed by the service provider and are to be forwarded to the case manager. [ Any changes to the ISP must be reviewed with the individual or family/caregiver.]*

*4. A copy of the most recently completed DMAS-122. The provider must clearly document efforts to obtain a copy of the completed DMAS-122 from the case manager.*

*5. A written support plan, detailing the interventions and strategies for providers and family/caregivers to use to better support the individual in the service; and*

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*6. A final disposition summary that must be forwarded to the case manager within 30 days following the end of this service.*

**12 VAC 30-120-250. ~~Reevaluation of service need and utilization review. (Repealed.)~~**

~~A. The Consumer Service Plan.~~

~~1. The Consumer Service Plan shall be developed by the case manager mutually with other service providers, the individual, consultants, and other interested parties based on relevant, current assessment data. The plan of care process determines the services to be rendered to individuals, the frequency of services, the type of service provider, and a description of the services to be offered. Only services authorized on the CSP by DMHMRSAS according to DMAS policies will be reimbursed by DMAS.~~

~~2. The case manager is responsible for continuous monitoring of the appropriateness of the individual's plan of care and revisions to the CSP as indicated by the changing needs of the recipient. At a minimum, the case manager shall review the plan of care every three months to determine whether service goals and objectives are being met and whether any modifications to the CSP are necessary.~~

~~3. DMHMRSAS staff shall review the plan of care every 12 months or more frequently as required to assure proper utilization of services. Any modification to the amount or type of services in the CSP must be authorized by DMHMRSAS staff or DMAS.~~

~~B. Review of level of care.~~

~~1. The case manager shall complete an annual comprehensive reassessment, in coordination with the consumer, family, and service providers. If warranted, the case manager shall coordinate a medical examination and a psychological evaluation for every waiver recipient.~~

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~~The reassessment shall include an update of the assessment instrument and any other appropriate assessment data.~~

~~2. A medical examination shall be completed for adults based on need identified by the provider, consumer, case manager, or DMHMRSAS staff. Medical examinations for children shall be completed according to the recommended frequency and periodicity of the EPSDT program.~~

~~3. A psychological evaluation or standardized developmental assessment for children under six years of age must reflect the current psychological status (diagnosis), adaptive level of functioning, and cognitive abilities. A new psychological evaluation shall be required whenever the individual's functioning has undergone significant change and is no longer reflective of the past psychological evaluation.~~

~~C. Documentation required:~~

~~1. The case management agency must maintain the following documentation for review by the DMHMRSAS staff and DMAS utilization review staff for each waiver recipient:~~

~~a. All assessment summaries and CSP's completed for the recipient maintained for a period not less than five years from the recipient's start of care.~~

~~b. All ISP's from any provider rendering waiver services to the recipient.~~

~~c. All supporting documentation related to any change in the plan of care.~~

~~d. All related communication with the providers, recipient, consultants, DMHMRSAS, DMAS, DSS, DRS or other related parties.~~

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- ~~e. An ongoing log which documents all contacts made by the case manager related to the waiver recipient.~~
  
- ~~2. The individual service providers must maintain the following documentation for review by the DMHMRSAS staff and DMAS utilization review staff for each waiver recipient:~~
  - ~~a. All ISP's developed for that recipient maintained for a period not less than five years from the date of the recipient's entry to waiver services.~~
  
  - ~~b. An attendance log which documents the date services were rendered and the amount and type of service rendered.~~
  
  - ~~b. Appropriate progress notes reflecting recipient's status and, as appropriate, progress toward the goals on the ISP.~~

CERTIFIED:

8/8/02

Date

/s/ P. W. Finnerty

Patrick W. Finnerty, Director

Dept. of Medical Assistance Services

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